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ABSTRACT

This kit on planning systems updates a 1974 Management Studies Office Systems and Procedures Exchange Center (SPEC) kit in which developments in planning activities among Association of Research Libraries (ARL) were reviewed. At the time of the original study, in 1972, planning techniques and systems were a subject of much interest because rising user expectations and new, complex library systems and procedures accompanied by shrinking budget increments had intensified the need for careful planning. Since the 1972 review interest in planning has increased; new programs have been developed and many more libraries have begun systematic, continuing planning programs. Systematic planning is a complex process which usually involves the collection and analysis of data from the library's environment, beginning with the university's planning process and extending outward to state, federal, and collective library agenices. It also requires much internal data relating to cost productivity and library use. Samples of short-range and long-range plans and staff organization from specific libraries may be useful to other libraries developing systematic planning processes. The SPEC kit contains five new documents from the Library of Congress, the University of California at Berkeley, the University of North Carolina at Chapel Hill, Johns Hopkins University, and the University of Kentucky. Four other documents are retained from an earlier kit: New York State Library, Cornell University, Columbia University, and the University of Tennessee at Knoxville. (THC)

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PLANNING SYSTEMS

KIT NO. 13 - NOVEMBER 1974

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* NEW MATERIALS AS OF FEBRUARY 1978

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PLANNING SYSTEMS

ISSN - 0160 - 3574

Nearly two years ago the Management Studies Office reviewed new developments in planning activities among ARL member libraries.* At that time planning techniques and systems were a subject of much interest because rising user expectations and new, complex library systems and procedures accompanied by shrinking budget increments had intensified the need for careful and effective planning in academic libraries. Libraries frequently turn to planning in response to a crisis, to take advantage of an unforeseen opportunity, or to accomplish a specific goal, for example, the acquisition of a new building. However, several large libraries had begun to engage in systematic, ongoing planning to ensure the effective use of their limited resources.

Since the 1972 review interest in planning has increased even further, new programs have been developed, and many more libraries have begun systematic, continuing planning programs. Evidence of this expanded interest in planning includes major independent studies at the Universities of Michigan, North Carolina and Washington and the application of an extensive, assisted self-study (MRAP) at twenty-one other institutions. The Management Review and Analysis Program was developed at ARL/OMS and involves the use of task forces to review and analyze current management practices and to recommend changes in such areas as objective formulation, personnel administration, and policy development. While one task force specifically addresses library planning, in a larger sense the entire self-study can be seen as preliminary to the development of an integrated planning system.

It appears that continuing financial pressure and an increased interest in planning on the part of university administrators have contributed to these recent developments. A growing interest in management activities on the part of academic librarians and the availability of such tools as the Management Review and Analysis Program and a variety of new budgeting techniques have made organized, systematic planning feasible.

Systematic planning is a complex process which usually involves the collection and analysis of data from the library's environment, beginning with the university's planning process and extending outward to state, federal and collective library agencies. It also requires much internal data relating to

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*Association of Research Libraries, Office of University Library Management Studies. ARL Management Supplement Number 1, December, 1972.

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cost productivity and library use. People at all levels of the organization will typically be involved in a continuous cycle of clarifying goals and priorities and an ongoing series of decisions based on them. Several very useful formulae for computing the cost to the library of providing service have been developed, but libraries still face difficulties in measuring the use and usefulness of specific services provided. Current interest in devising output measures for reference services indicates that this problem may yet be remedied. While accurate and comprehensive data about the current state of affairs at any given time is very difficult to acquire, the effort required to collect it is well repaid by the effectiveness of the planning it makes possible. However, while it must be recognized that systematic planning is increasingly necessary to large libraries, there are real costs that must be borne in any effective program.

The organization of a library's staff in a planning effort can take several forms. Long-range plans, often developed at the request of the parent institution, are usually prepared by a specially appointed committee. Shorter-range plans are more often undertaken by the library director or a specially designated planning office. Staff organization is also related to intensity of effort. In a very intense, time-limited program such as MRAP a committee or task force structure has been useful. For continuous planning, a separate planning office is often used to coordinate and direct the work of committees.

DOCUMENTATION

The SPEC Kit on Planning Systems (#13, November 1974) was updated in February 1978. It contains five new documents from the Library of Congress, the University of California at Berkeley, the University of North Carolina at Chapel Hill, Johns Hopkins University, and the University of Kentucky. Four other documents have been retained from the earlier kit -- from New York State Library, Cornell, Columbia, and the University of Tennessee at Knoxville. The 100-page Kit is available for $7.50 to ARL Members and SPEC Subscribers and for $15.00 to all others from the Association of Research Libraries, Office of University Library Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D. C., 20036.

SELECTED EXCERPTS FROM: REPORT TO THE LIBRARIAN OF CONGRESS FROM THE TASK FORCE ON GOALS, ORGANIZATION, AND PLANNING January 28, 1977

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PREFACE

The Task Force on Goals, Organization, and Planning was created on January 16, 1976, by The Librarian of Congress, Daniel J. Boorstin, to carry out a full-scale review of the Library and to recommend changes that would improve the effectiveness and the efficiency of the institution. The Task Force was urged by The Librarian to make its review "wide-ranging, free, and imaginative," and not to be hampered by thoughts of statutory or budgetary restraints. We were asked to seek counsel and solicit ideas from the Library's staff and to listen to the advice and suggestions of outside advisory groups that would be chosen to represent the Library's various constituencies. With this guidance, plus a list of suggested questions for consideration, we began our work.

More than 500 suggestions for improving the Library and its services were sent to the Task Force by the Library's staff. Fourteen subcommittees were created: area studies, automation and reference services, bibliographic access, the bibliographic role of the Library, collection development, the cultural role of the Library, documents, loan and photoduplication services, serials management, services to Congress, services to libraries, services to staff, training and staff development, and the user survey. Over 160 staff members served on these subcommittees. Many other staff members helped with the user survey and assisted the Task Force in countless other ways.

With support from several private foundations, eight outside advisory groups were established: arts, humanities, law, libraries, media, publishers, science and technology, and social sciences. A total of 75 distinguished individuals from the United States, plus four from abroad, served as advisors.

This report is a planning document that cannot be easily summarized. It is divided into four parts: recommendations, supplementary documents, subcommittee reports, and advisory group reports.

The Task Force recommendations (Part I) represent our distillation and evaluation of the ideas presented by the Library's staff, our subcommittees, and the advisory groups, to which have been added our own insights and opinions. A special cautionary note is necessary. The Librarian asked us to emphasize what the Library <u>should be</u> without worrying

about budgetary restraints. We have done so, but are fully aware that the implementation of many of our suggestions would require large amounts of money and many additional staff members. It is our belief that many of the numbered recommendations in Chapter I-VI represent practical steps the Library could take now without causing undue budgetary or administration stress. Our focus, however, has been on the Library's future.

The Task Force and its subcommittees have conscientiously reviewed and discussed most of the major activities of this exceptionally complex institution, but many of those activities are not mentioned in our recommendations. Our emphasis is on those functions that we would like to see improved and those new services that, if undertaken, will make the Library of Congress more useful in the future.

We are well aware that there are many other parts of the Library where essential work is proceeding efficiently and in a most satisfactory manner. The Library of Congress does many things very well and we assume it will continue to do many things very well. This realization has been a major part of our education.

The supplementary documents section (Part II) contains certain suggestions referred to in our recommendations, working papers used and generated by the Task Force, and reports concerning Task Force meetings and procedures prepared by the Task Force chairman. These reports are reprinted from the Library of Congress Information Bulletin.

The 14 subcommittee reports (Part III) were treated as recommendations and many of the subcommittee recommendations are reflected in Part I of this report. In addition, the subcommittee reports contain dozens of excellent ideas that were not incorporated into our recommendations but which, at some time, should be seriously considered by the Library. The eight advisory group reports (Part IV) offer valuable new perspectives on the Library and its services. In addition to their inclusion as part of this report, they have been presented directly to The Librarian.

The Task Force would like to express its gratitude to those staff members who submitted suggestions, to those who visited the Task Force office during the daily "open house" hour to share their thoughts and concerns, and to those who contributed to our effort as subcommittee or advisory group members.

Our special thanks goes to the following subcommittee chairmen and co-chairmen who were not Task Force members: Helen W. Dalrymple, Kimberly W. Dobbs, Ronald Gephart, John R. Hébert, John W. Kimball, Louis R. Mortimer, Suzy Platt, Dorothy Pollet, Joseph W. Price, Winston Tabb, and Robert Zich. Mr. Zich also provided valuable assistance as a member of the Task Force staff. In addition, special help was provided by Constance Carter, Janet Chase, Adrianne Kirkland, Nancy Mitchell, Melissa Trevvett, Susan Tarr, and Christopher Wright. We hope and trust that this endeavor marks a new direction in the affairs of the Library and that our report justifies the confidence placed in the Task Force by The Librarian and by the dedicated staff of the Library of Congress.

The Task Force process has encouraged openness and the frank exchange of opinions throughout the Library. This new atmosphere, as well as the ideas it has engendered, must not be lost.

THE PLANNING OFFICE

Recommendation No. 32: that the Library continue on a permanent basis its newly created planning office and that it establish a research office.

The Task Force is pleased with the recent announcement that a planning office is being established on January 28, 1977, the day the Task Force effort ends. The planning office should play a major role in the Library's administrative process. Although it has no authority to make decisions, it has an essential guiding and recommending role to play. It should be concerned not only with long-range planning and program development, but also with appraising the Library's major ongoing programs and their management. In coordination with the Personnel Office, it should continually perform organizational studies and recommend organizational changes to The Librarian. It must work with the Financial Management Office with regard to budget planning and with the Library Environment Resources Office with regard to the planning and allocation of space within the Library's buildings. The head of the planning office should be an ex-officio member of the director's council and all coordinating committees, and his office should provide the secretariat for each of these bodies, performing staff work and preparing summary accounts of the meetings for distribution or publication.

The planning office should assist the national library office and the coordinator of network development in planning and monitoring the Library's national programs. It should work closely with the coordinator of Congressional services, the library research office, and the collection development office. Another responsibility of the head of the planning office should be chairmanship of an informal planning council consisting of planning officers (or executive officers) from each department.

The organization of the Library's automation activities is one topic that must be of immediate concern to the planning office and other Library officials. The Task Force received

many recommendations on this subject, most of which are summarized in the report of the subcommittee on automation and reference services (Part III). Several organizational changes have been made in the Library's automation activities during the past year, but the scope and importance of the entire automation program makes continuing study imperative. The Task Force believes that this is one instance where the Library would benefit from a study undertaken by an expert from outside the Library.

Long range space planning must be a topic of immediate concern to the planning office and other Library officials. The Library must work closely with the Architect of the Capitol in planning for the institution's future growth. It is essential that all direct services to Congress, along with the collections that support those services, remain on Capitol Hill. The basic research collections also must remain centralized and on Capitol Hill; their unique value is in their relationship to each other. There are, however, many administrative services that in future years need not be located on Capitol Hill.

A RESEARCH OFFICE

A research office is badly needed. The Library of Congress must improve its capability to perform research into technical matters central to its own operations and into library problems generally. For the most part, research at the Library should be decentralized, but there must be a central coordinating office to oversee the entire research program. The research office would serve four important functions: 1) provide information about outside library operations that are relevant to the Library's programs; 2) encourage individual departments or divisions to undertake needed research; 3) coordinate and review, as necessary, all Library of Congress research activities and contracts; and 4) perform research needed by the Library's management.

The Library is deficient in providing its managers with adequate information for decision-making. It needs improved statistics for determining the cost effectiveness of programs and services. It needs Library-wide policies regarding the uses of labor-saving devices such as word processing equipment. Officials at all levels need statistically sound projections about topics such as collection growth, manpower allocations, and the impact of computer technology and other technologies. Internal standards are needed to measure and control work flow. Furthermore, the Library must begin regular assessments of user satisfaction. Such information is essential if the Library of Congress is going to develop a fully integrated, long-range and Library-wide planning process.

COORDINATING COMMITTEES

Recommendation No. 33: that the Library reorganize its committee system with the goal of creating a more powerful and responsive group of coordinating committees. A director's council should be the capstone of the system.

With few exceptions, committees at the Library of Congress are not functioning particularly well. Committees are needed in the Library to improve communication among operating officials and staff. They should not manage, but coordinate. They facilitate management by permitting line officers to make more informed decisions. The committee system must be constructed with care to ensure that individual committees do not usurp the decision-making responsibilities of operating officials. The key is the concept of committees as coordinating and advisory bodies. Committees should give management a cross-departmental perspective; they should complement, not duplicate, the administrative structure.

The director's council should consist of The Librarian, The Deputy and Assistant Librarians, the head of the planning office, the department directors, plus any other officials invited by The Librarian. As the Library's principal coordinating body, it should meet at least once a month. The planning office should provide the secretariat. The directors' council will define the areas in which the committees are to make their contribution and refer topics to appropriate committees.

The number of coordinating committees should be held to a minimum. No committee should have more than 10 members, which means that each member must truly represent the views of others. Dereliction of this duty or a poor attendance record should result in removal from the committee. Each committee should be required to meet at least six times a year. Each should be abolished after two years if not continued by The Librarian or The Deputy Librarian. The planning office should provide the secretariat for all coordinating committees, as well as for the director's council.

Coordinating committees should be created to consider problems that concern more than one unit, but as groups they should not make decisions. The Librarian or The Deputy Librarian should appoint all committee chairmen, who normally will be the responsible operating officer for the activity in the Library. The committee members, chosen on a Library-wide basis by the chairman, will be responsible officers from each administrative unit involved.

At this time, the Task Force feels that the following coordinating committees are necessary: acquisitions, automation, cataloging, cultural activities, online catalog, preservation, and serials.

Coordinating committees should be supported by various departmental committees as well as by interdepartmental staff discussion groups or "roundtables", such as the Reference Roundtable now in existence. (See Chapter VI for more discussion).

NOTE: Advisory Group Reports and the Task Force Report will be published by R.R. Bowker under the title: The Library Of Congress in Perspective. Descriptions of task force subcommittee and advisory group meetings were published as appendices to the L.C. Information Bulletin during 1976 and early 1977.

SELECTED EXCERPTS FROM

THE UNIVERSITY OF CALIFORNIA LIBRARIES A PLAN FOR DEVELOPMENT
from the Office of the Executive Director of Universitywide Library Planning, Systemwide Administration, University of California, Berkeley

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PREFACE

The first draft of the plan for development of the University of California libraries was distributed in November 1976 for review within the University. Comments were received from all campuses--from individual faculty, students, and staff members, as well as from campus and library administrators.

As discussed in Chapter I, policies and guidelines for the University's library system have been in a process of development for the last several years. In the spring of 1976, a general planning document entitled The University of California Libraries: Problems and Prospects was approved as an internal working paper that identified systemwide policies on which there was general agreement and suggested avenues of investigation toward solution of the libraries' most pressing problems. It was obvious to all concerned, however, that specific recommendations, with costs and implementation dates, could not be made without the collection of much more comprehensive data on the libraries and their problems, and intensive study of possible solutions.

The accomplishment of this data-gathering and research has been the task of dozens of individuals during the past year. Donald D. Thompson, Assistant to the Executive Director of Library Planning, led a team which did the bulk of the data-gathering and performed a major research study of library space problems. In the process, the team produced a computerized simulation model that not only facilitates statistical analysis of the University's space problems but should also assist other research libraries in performing the same task. Gary Lawrence programmed the model as well as assisting Thompson in its design. Richard King researched many of the components of the library space problems. Burke Conley investigated various methods of compact shelving, and Cynthia Rimbach analyzed the possible impact of microforms.

Michael Berger, Manager of Bibliographic Projects, and Bruce D'Ambrosio performed the major research on the feasibility of the on-line catalog and other automation projects discussed in Chapter V. Bill Harrelson investi-

gated many of the technical problems involved, particularly those having to do with communication links and on-line terminals, and Ric Venzie analyzed the requirements for bibliographic control of serials.

Able administrative assistance for both of the groups mentioned above was provided by Sharon Conniff.

In addition to those directly assigned to the project, the development of the plan has been greatly assisted, directly or indirectly, by dozens of other individuals and groups. Belle Cole performed the historical research and supplied much of the information for the first part of Chapter I. Suggestions for Chapter VII were made by numerous members of the UC Berkeley library staff, including its Reference Services Committee. Lawrence Garvin helped greatly with Chapter X, and Dennis Smith provided historical and budgetary details. Staff members of all the University libraries contributed major assistance in the collection of data, without which the research could not have been accomplished. University Librarians have been a constant source of information and assistance, and the library planning effort in general has benefited continuously from the advice and guidance of the Library Policy Steering Committee, the Library Council, the Academic Senate Library Committee, and the Librarians Association of the University of California (LAUC). Hundreds of individual faculty members, students and staff reviewed the successive drafts of the plan, and their comments have contributed materially to the final product. To all, the plan and the University owe a debt of thanks.

No plan, however, can remain unchanged for long. Circumstances beyond the University's control will undoubtedly force some alterations in coming years, and changes in technology will provide new opportunities for development. The University's research in library matters is continuing, and the results of this research will also affect future plans. The very size and complexity of the institution and its libraries demand a constant and intensive planning process.

Development and revision of the library plan will continue, therefore, and the consultative process described above will also continue. Each year an updated plan, projecting the needs, activities, and performance

goals of the library system on a multi-year basis, will be produced, and once approved, the recommendations will become the basis for the University's library budget requests.

The results of recommendations which are implemented must also be monitored to insure that the desired effects do in fact take place. As suggested in Chapter IV, the library system proposed can only succeed if it is able to respond to users' needs within an appropriate time. Furthermore, it must be able to do so in a sufficiently high percentage of cases that users are convinced of the system's ability to perform as intended.

The actual performance of all elements of the system, therefore, will be measured on a continuing basis, and changes will be instituted when it is clear that they are needed to meet the desired performance goals. By their nature, many parts of the system will provide as a matter of course the information needed to judge their performance. Statistics on many activities are already kept, and the automation systems proposed will provide an enormously helpful body of additional information. In the last analysis, however, the best judge of the system's performance is the person for whom it is designed, the user. Periodic surveys will therefore be made to ascertain the extent to which the service rendered by the library system is perceived by the users to be satisfactory, and to pinpoint areas where further improvement is necessary.

The process, in short, must come full circle. The library users--faculty, students, and staff alike--must contribute on a continuing basis to the development of the library plan, assist in its revision, and judge the results of its recommendations. Only thus can the plan fairly reflect the users' needs, and only thus can there be a library system of which the University can be proud.

Stephen R. Salmon
Executive Director of
Universitywide Library Planning

CHAPTER XII

SUMMARY OF RECOMMENDATIONS AND COSTS

The University of California grew rapidly during the decade of the 60's to fulfill the responsibilities mandated to it under the 1960 Master Plan for Higher Education. Three new campuses were established, and enrollment more than doubled. The University libraries also grew rapidly during this period in order to accommodate the needs of the new students, new faculty, and new academic programs that accompanied the University's growth.

With the 1970's, however, came drastically changed demographic projections and a resulting need for radical changes in planning, both for the University as a whole and for its libraries. Not only had enrollment growth slowed, but the State (particularly the State Department of Finance) had become increasingly concerned about the cost and efficiency of the libraries. In a 1971 report, the Department urged greatly increased "interdependence, cooperation, and coordination," both to reduce costs and improve service. Several University committees have recommended specific steps toward this end, and a significant amount of progress has already been made.

Yet many problems remain. There are insufficient funds for materials required for instruction and research; users face increasing difficulty in obtaining materials from the collections when they are needed; space for both users and collections is rapidly being exhausted; and library operating costs continue to rise.

To a large extent, these problems arise from the persistence of traditional methods of library operation, in particular the attempt to build self-sufficient, autonomous collections. A new approach is needed, with more attention to differentiating users' needs, distinguishing between materials on the basis of utility, and exploiting available technology to create a coordinated, Universitywide library system. In the words of the Academic Plan, "new patterns of library organization and

service, and new strategies for getting the maximum utility from funds expended,"[1] are needed to provide better service and a wider range of resources.

The discussion in the first four chapters led to several conclusions which form the basis for design of a new library system for the University of California.

1. The system must be based on strong and flexible campus library systems, but the building of collections must be an interdependent, collective and integrated enterprise.

2. Provision of materials within the time span needed must be the primary objective.

3. There must be adequate means of knowing about these materials and where they are located.

4. Access to materials not in a local library must be quick and reliable.

5. More extensive use of computerized systems will help to slow the rate of rise in library costs.

Users and their needs, as well as library materials, differ in ways that may be predicted with a fair degree of accuracy, so the system proposed is based on differentiated responses to these needs at multiple levels of service. Six levels are defined and discussed: department and college; campus; region; University and state; national; and international. For each level, Chapters V through XI recommend or describe appropriate methods of:

- identification and location of material;
- delivery and use of material;
- acquisition and processing of material;
- information and instructional services;
- staffing;
- housing; and
- organization and governance.

For each activity, the most important recommendations are as follows (fuller discussion of each recommendation is at the pages indicated in parentheses).

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[1] University of California Academic Plan, 1974-1978, p. 40.

Identification and Location of Material (pages 57-78). The University has determined that "the library holdings of all campuses should be considered a single University collection,"[2] but effective use of the unified collection cannot be made unless users know what is in it, and where the material is located. The plan therefore recommends the development of an on-line, computerized union catalog, with terminals on all campuses. This technique is already being employed successfully in other libraries, and has numerous advantages over the traditional card catalog. The advantages are discussed in full on pages 64 through 67, but among them are the following:

. When developed, the on-line catalog is likely to be less expensive to maintain than the card catalog.

. The information presented can be more current.

. The information presented can be more accurate, since changes and corrections are more readily made.

. Searching for information is much faster, and can also be much more efficient.

. Access to the catalog (through terminals) can be provided in many more locations, including departmental offices.

. Access to other data bases, in addition to the union catalog, can be provided through the same terminals.

Delivery and Use of Materials (pages 79-100). Once identified, the material needed must be delivered to the user within the time needed for it to be useful. At present, this is too frequently not the case. Days and even weeks may be required to deliver materials from one campus to another, and even on the campuses themselves it may take days to retrieve material and get it to the intended user.

For each level in the system, the plan recommends a desired response time, as follows:

Department and College: immediate.
Campus: one day.
Region: two days.
University and State: one week.

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[2] Report of the Library Policy Task Force, University of California Library Policy to 1980-81, 1974, p. 2.

National: two weeks.

International: one to six months.

To meet these goals, the plan recommends the following steps:

. limitation of branches to those materials likely to be needed immediately;

. installation of automated circulation systems on each campus;

. inclusion in the regular operating budget of the inter-campus bus system;

. budgeting of funds for photocopies of materials, in cases where sending a photocopy to another campus is more appropriate than sending the actual material;

. use of proxy borrowers and expediters for inter-campus loans, and encouragement of direct borrowing;

. transmission of inter-campus borrowing requests by TWX and transmission of materials by jitney bus or UPS;

. improvement of internal procedures for handling of inter-campus loans;

. coordination of the UC inter-campus system with the CSUC system;

. charging institutions outside the state for the costs of inter-library loans;

. Universitywide membership in the Center for Research Libraries;

. use of the British Library Lending Division's services, and encouragement of efforts to develop improved access methods in other nations.

Information and Instructional Services (pages 101-112). Users also need reference information that they are unable to locate themselves, and instruction in the use of libraries and library materials. To improve such services, the plan recommends:

. formalization of existing courses in library use and research, and allowance for library instruction courses in the staffing portion of library budgets;

. encouragement of additional courses in subject bibliography and research methodology at the departmental level;

. allowance for the cost of reference services to users who are not UC students or faculty;

. a Universitywide system to insure that reference questions beyond the scope of one library are referred to a UC library or librarian with

the required expertise, so that insofar as possible no reference question goes unanswered.

Acquisition and Processing of Materials (pages 113-135). New library materials must continue to be acquired if the principal objective--provision of needed material within the needed time span--is to be met, and at present the funds available for this purpose are about 14 percent below what is needed. Actual volumes added to the collection have declined steadily, with the result that the University is now acquiring only about as many volumes per year as in 1963/64; since that time, however, the student body has increased 77 percent and the faculty 80 percent. Published information has also continued to grow.

To cope with this problem in a systematic way, and to relate library planning more closely to academic planning, an acquisitions formula is proposed that is based largely on academic programs, with additional factors that take into account the number of students at both the undergraduate and graduate levels, and the amount of sponsored research on each campus. The formula indicates a requirement for purchase of 609,000 volumes per year, as contrasted with the present budget level of 523,000 volumes. The plan recommends funding at the higher level, with further increases only if there is significant growth in programs or enrollment.

The cost of actually acquiring and processing the materials purchased has been rising steadily because of the labor-intensive nature of the work involved, but on-line computer systems are now available that reduce the rate of rise in such costs substantially. They also make the process much faster, and help promote standardization. Several of the University libraries are already experimenting with such systems, and the plan recommends that they be installed on all campuses.

Staffing the Library System (pages 137-145). If the automated systems are installed, the plan anticipates that savings in staff can be made in the acquisitions/processing area. These savings will be needed to meet expected increases in service demands, to provide staff for improved inter-campus and on-campus delivery of materials, and to fund needed courses in library use. If enrollment increases, more staff will also be needed to handle the increased demands from additional students. The plan therefore recommends no increase in the acquisitions/processing area, and increases in the reference/circulation

area as necessary to maintain the present ratio of library users to staff.

Housing the Library System (pages 147-185). No funds for construction of library facilities have been approved for several years, and by standard formulas the University libraries are now deficient in space by almost 250,000 square feet. Assuming continuation of the present methods of housing library collections, this deficiency will grow to over three quarters of a million square feet by the end of another ten years. Considering the magnitude of the problem and the fact that construction costs continue to escalate, it is obvious that all reasonable alternatives to present housing methods should be explored.

To accomplish this task, data was collected on the size and characteristics of each library, the patterns of recorded use of materials, and other information related directly or indirectly to the space problem. A computerized simulation model was then designed to calculate the effect, in both space and funds required, of each of a number of alternatives, singly and in combination. Based on the results, the plan rejects the alternatives of large-scale weeding and microfilming of existing collections as unfeasible and not cost-effective. It does appear, however, that the use of compact shelving techniques on a regional basis would offer significant economies, and could be implemented in such a way that service to users would not be seriously degraded--and might in fact be improved. As noted in Chapter IV, not all material is needed immediately, and material needed only within two days (the regional goal) might be provided more efficiently from a regional facility than from individual campuses. Some additional construction of traditional open-stack library facilities on campuses will still be necessary to accommodate the material likely to be used frequently, but the amount of such construction will be much less than without the regional facilities. The regional facilities could also be used by CSUC and other institutions on a cost-sharing basis.

More extensive use of microforms under one set of circumstances also appears to be advisable. If a microform edition of a current journal is available, and is suitable for research use in microform, several benefits result from procuring the microform edition and retaining it in lieu of binding the originals. Space is saved; binding costs are eliminated; the possibility of theft is sharply reduced; the material

can be preserved more easily; and the material is not made inaccessible by being sent to the bindery at the time of peak usefulness.

The plan therefore recommends:

. that two regional compact shelving facilities be constructed, one in the North and one in the South;

. that when a microfilm edition of a current journal is available, the microfilm edition be subscribed to in addition to the full-size copy, and that the microfilm edition be retained in lieu of binding the originals.

Governance of the Library System (pages 187-192). No change in the present system of governance appears to be needed or desirable, except that provision must be made for governance of the regional systems. For this there is precedence in the existing Northern Regional Library System, which has a Board of Directors consisting of the University Librarians of the four Northern campuses and the Executive Director of Universitywide Library Planning. The Board reports to a subcommittee of the Systemwide Library Policy Steering Committee, and staff members assigned to regional projects report administratively to the Executive Director. Following this model, the plan recommends:

. that a Board of Directors be created for the Southern region as well;

. that the regional Boards be charged with determining operating procedures for each region, with policy guidance from the office of the Executive Director and the Library Policy Steering Committee;

. that each region have an advisory committee composed of administrators, faculty, and students;

. that the director or coordinator of each regional facility report, for administrative purposes, to the Executive Director;

. that representatives of other institutions that participate in the use of the facility serve on the regional Board in a liaison capacity, and be represented on the advisory committee.

Advantages of the System. The advantages of the multi-level system are enumerated in greater detail in the separate chapters, but may be summarized as follows:

1. Through the use of technology already available, a much greater percentage of the library material available in the University collections can be identified and located.

2. Improved delivery systems will be able to provide materials within the time frame needed, and with a higher degree of reliability than at present.

3. The resources made available through the combination of these two techniques will be much greater and much richer than any single campus system could provide.

4. The use of technology in cataloging and processing will provide for coordination of acquisitions, faster and more economical handling of materials, and the construction of a systemwide data base of bibliographic information.

5. Regional facilities will provide housing of little-used materials in a more cost-effective way than continued reliance solely on campus construction, and should help deliver such materials throughout each region more efficiently.

6. Coordination of systemwide library activities will provide the optimum library service within the limit of available funds.

Planning and Monitoring of Performance. In order to realize these advantages, however, the system must be able to perform within the guidelines mentioned at each level, and performance must be continuously monitored to insure that users' needs are being met. Some aspects of the system, by their nature, will provide the information needed to judge their performance, but statistical information-gathering procedures must be developed to provide other data needed, and periodic surveys of users will also be required to determine whether performance is satisfactory.

Based on such information, and on the results of continuing research in library operations and user characteristics and needs, the library plan will also need continuous revision. Procedures which fail to accomplish the desired results must be abandoned, and new ones devised, so that performance goals are met in as cost-effective a manner as possible. The University has learned much about its libraries and their users through its investigations in recent years, but far more needs to be known to insure that the libraries are operating at optimum levels. Library planning and research must therefore be ongoing and intensive, and the plans themselves must be revised as new information becomes available.

Costs of the Library System. A final requirement for the system's success, of course, is adequate funding. In order for the new approach to be acceptable as a replacement for older methods, sufficient investment must be made in the new system, over a sufficiently long period of time, for it to be demonstrably better than what it replaces.

The estimated costs of specific recommendations mentioned in the plan, in 1976 dollars and by category and year, are shown in Table 36. Some of these costs, of course, would be offset by savings as compared with conventional methods, particularly in staffing and in capital expenditures for construction.

Total estimated library budgets, year by year, are shown in Table 37. The columns on the left are based on the assumption that the recommendations of the plan will be adopted, and the columns on the right assume that the present methods of operation will continue and staff will be increased as in comparable research libraries.

Except for the one-time rise in the book acquisition category, most of the increases in the budgets based on the plan are in two categories: salaries and equipment costs associated with the automated projects, and salaries associated with the establishment of the two regional centers and processing materials into them. Investment in automation projects is heaviest in the three years beginning in 1978/79, then declines until 1984/85 and 1985/86, when additional equipment will be needed. The major impact of the regional centers on the operating budget begins in 1982/83, when the centers must be staffed and bibliographic records must be made for material being transferred to the new facilities. After 1980/81, however, the total operating budget remains relatively stable at about 53 million dollars per year.

In contrast, the budgets which are based on present methods of operation and staffing patterns show a continual rise in the cost of salaries and associated supplies and equipment. Even if the book budget is held to its present level, increases in staff will be needed in order to service the growing collections, and if there were no staff savings from the automation projects, continuing requests for additional staff would be necessary. Assuming that present levels of service would be maintained, then, the budget under present methods would be larger than the budget recommended under the plan by fiscal year 1980/81, and

Table 36

Summary of Costs of Specific Recommendations,
1978/79-1987/88

(1976 Dollars, in Thousands)

Item	1978/79	1979/80	1980/81	1981/82	1982/83	1983/84	1984/85	1985/86	1986/87	1987/88
Identification and Location of Materials										
On-Line Catalog	1,462	1,635	1,939	968	526	893	1,227	1,357	735	739
Delivery and Use of Materials										
Jitney Buses	220	220	220	220	220	220	220	220	220	220
Copying Service	122	122	122	122	122	122	122	122	122	122
TWX & UPS	20	20	20	20	20	20	20	20	20	20
Center for Research Libraries	82	82	82	82	82	82	82	82	82	82
Circulation Systems	300	100								
Acquisitions and Processing										
Books and Binding	2,286	2,286	2,286	2,286	2,286	2,286	2,286	2,286	2,286	2,286
Housing										
Regional Facilities	200	578	9,442	42						
Campus Facilities			875	9,349	13,439	8,130	12,132	8,054	580	383
Total	4,692	5,043	14,986	13,089	16,695	11,753	16,089	12,141	4,045	3,852

Table 37

Estimated Operating Budgets,
1977/78-1987/88

(1976 Dollars, in Thousands)

Year	Assuming Recommendations of the Plan				Assuming Present Methods of Operation			
	Books and Binding	Salaries and Wages	Supplies and Equipment	Total	Books and Binding	Salaries and Wages	Supplies and Equipment	Total
77/78	13,542	32,138	2,538	48,218	13,542	32,138	2,538	48,21
78/79	15,910	33,040	3,684	52,634	13,542	33,714	2,730	49,98
79/80	15,910	33,236	3,573	52,719	13,542	35,259	2,918	51,71
80/81	15,910	33,242	3,854	53,006	13,542	36,804	3,106	53,45
81/82	15,910	32,861	3,315	52,086	13,542	38,333	3,292	55,16
82/83	15,910	33,718	3,569	53,197	13,542	39,862	3,478	56,88
83/84	15,910	33,726	3,965	53,601	13,542	41,376	3,662	58,58
84/85	15,910	33,743	4,282	53,935	13,542	42,890	3,846	60,27
85/86	15,910	33,737	4,418	54,065	13,542	44,404	4,030	61,97
86/87	15,910	33,523	3,710	53,143	13,542	45,855	4,206	63,60
87/88	15,910	33,523	3,714	53,147	13,542	47,275	4,379	65,19
Total	172,642	366,487	40,622	579,751	148,962	437,910	38,185	625,057

would continue to grow larger as time went on. By the end of the period in question, the cumulative difference would be over 45 million dollars and still growing.

Table 38 indicates the capital expenditures required to house the materials acquired during the span of the present plan (that is, for the ten years from 1978/79 to 1987/88), as well as relieving current overcrowding. As in Table 37, the columns on the left are based on the assumption that the recommendations of the plan will be adopted, and the right-hand column assumes that the present methods of operation will continue. The calculations also assume:

. that new on-campus construction will have capacity for five years' additional growth in holdings after occupancy; and

. that both regional facilities will be built in increments, with the first increments having a capacity of 3 million volumes each and subsequent increments 2 million each.

For these reasons, the totals differ from those in Table 34 on page 180, which is based on the unit costs of housing individual volumes.

As indicated in Table 38, the total cost of housing by present methods during the ten years from 1978/79 to 1987/88 would be over 110 million dollars, or almost 50 million dollars more than the cost of the recommendations in the plan. If staffing were allowed to grow according to the pattern in other research libraries, the total cost of conventional methods would be even greater: an estimated $131,000,000, or more than double the cost of the recommendations. As with the operating budget, there is clearly a justification for the steps proposed in the economics of the situation, as well as in the desire for improved service.

Conclusion. The library plan, as indicated earlier, proposes a new approach toward organization, operation and development of the University libraries. By a system of differentiated responses on multiple levels, it aims to provide a much greater range of resources than at present, with better and quicker access to those resources for all users. With the steps recommended at each level, with continuous planning and monitoring of performance, and with adequate funding, it should be possible for the system to deliver virtually all materials needed by its users, and within the time span needed. If this can be achieved, the plan will have maximized returns, not only on the financial investment by the State, but also on the considerable intellectual investment of the University in its libraries.

Table 38

Estimated Capital Budgets for Housing of Collections
Acquired During the Time Span of the Plan

(1976 Dollars, in Thousands)

Year	Assuming Recommendations of the Plan			Assuming Present Methods of Operation
	Regional Facilities	Campus Facilities	Total	Total
1978/79	150	50	200	
1979/80	428	2	671	389
1980/81	9,442	631	10,073	1,159
1981/82	42	9,349	9,391	15,609
1982/83		13,439	13,439	28,685
1983/84		8,130	8,130	16,765
1984/85		12,132	12,132	26,191
1985/86		8,054	8,054	19,678
1986/87		580	580	1,248
1987/88		383	383	948
Total	10,062	52,991	63,053	110,672

A PLAN FOR LIBRARY SERVICES

AT

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

THROUGH 1995

FOREWORD

The following plan for the development of the libraries at The University of North Carolina at Chapel Hill was developed by a special faculty committee, a committee of librarians, the Planning Council, and the Administrative Board of the Library, after consultation with a wide range of faculty members and with outside consultants. It was completed in 1975 to cover the twenty-year period until 1995. Although it has undergone some minor modifications since 1975, it is still a plan designed to meet library needs through 1995.

Since the last Planning Report (September, 1976), the funding for the library facilities contemplated by these plans has been authorized from the income from the sale by the University at Chapel Hill of its utilities operations, and architectural firms for two of the capital improvement projects have been selected.

I. INTRODUCTION

The increase in knowledge during the twentieth century has been very great. The process of storage and retrieval of that knowledge has been growing increasingly complex, not merely through various new inventions such as electronic devices, but also through the sheer bulk of the number of printed volumes--the oldest and still the standard means for the transmission of information. Libraries have become essential to carrying out functions not only of educational institutions, but also of municipal, state, and national governments, and of business and industry. The availability of a large library capable of satisfying the needs of an increasingly diverse clientele is an important feature for the support of the cultural and economic development of a region. Also a substantial, high quality library remains one of the principal indices of quality for educational institutions.

The State of North Carolina is fortunate in having within its boundaries the oldest state university in America, one which today is ranked among the leading educational institutions in the nation. A contribution of the University at Chapel Hill over the years, increasingly evident now, is the wealth of essential information being made available through its libraries to the people of the State. Of special importance is the access being provided to sister institutions within the University of North Carolina by libraries on the campus of The University of North

Carolina at Chapel Hill, which on June 30, 1977 had more than 2,274,000 volumes in their collections. But the rate at which information is increasing, at which books are being published, and at which new demands are made upon library collections is so great that these libraries are no longer adequate to the needs placed upon them by the State, by the sixteen-institution University system, and by the needs of its own campus as a graduate- and research-oriented University. It is, therefore, essential that the University at Chapel Hill plan to meet its steadily increasing library needs for at least until 1995, in order that it may continue to meet its many local and statewide obligations.

This report discusses the total library resources of the University at Chapel Hill in terms of the needs of the users, both on campus and throughout the State, and proposes a plan to meet satisfactorily the needs of those users in such a way that in 1995 the University will be able to continue library growth without major disruption. The plan rests upon a long period of study of libraries and library needs by faculty, librarians, and administration. During the academic year 1972-73 a University-wide faculty committee made a detailed study of the present status and future needs of the Library for the Self-Study conducted by the University in preparation for re-accreditation by the Southern Association of Colleges and

Schools. Early in the academic year 1973-74, at the request of Chancellor Ferebee Taylor, the University Librarian appointed a special library planning council consisting of ten librarians and ten faculty members. This council was asked to produce a master plan for the development of the University libraries during the next twenty years. Concurrently the Law Librarian and the Director of the Health Affairs Library made assessments of the needs of their libraries. Mr. Duane Webster, director of the Office of University Management Studies of the Association of Research Libraries, was retained as consultant to help organize and conduct the planning study.

The library planning council studied a variety of other university libraries in making its assessment, placing emphasis on two groups. One group of ten university libraries hold approximately the same number of volumes as the Library at Chapel Hill. Five of the libraries in this group at the time of the study were slightly larger than that at Chapel Hill--Duke, Johns Hopkins, Michigan State, New York University, and the University of Washington--and five were slightly smaller--Colorado, Iowa, Missouri, Pittsburgh, and Virginia. A second group of libraries used for comparative study consisted of California at Berkeley, Cornell, Indiana, Michigan, Minnesota, and Stanford. These libraries are larger than the collections at Chapel Hill and represent approximately the size toward which the Chapel Hill holdings will have to grow by 1995,

but the six universities have academic programs comparable to those at Chapel Hill.

These varied data were relied upon in the preparation by the library planning council of a detailed report that was submitted to the Chancellor and his Administrative Council, the Administrative Board of the Library, and the University Planning Council. Two consultants, Dr. Leslie W. Dunlap, Librarian at the University of Iowa, and Dr. R. A. Miller, Librarian Emeritus at Indiana University, visited the campus separately, each devoting a week to the study of library problems and the Library Plan, and to talking with a wide spectrum of interested persons. The reports from these consultants were made available to the University Planning Council with instructions to evaluate the consultants' reports and to develop this plan for the libraries through 1995. In producing this plan the Planning Council has been assisted by the Administrative Board of the Library, the Librarian, some members of the library staff, and Mr. Gordon Rutherford, of the Facilities Planning Office. This plan represents, the Planning Council believes, the best possible means of creating a program for the libraries for twenty years from 1975 that will serve the needs of most of the groups involved.

The growth of the libraries at Chapel Hill, although they parallel the growth of university libraries nationally, has not kept pace with it. In 1900 no library in the United States held

as many as a million volumes. In 1976, 88 libraries held more than a million volumes. In 1951, only three academic libraries in the United States and Canada held more than two million volumes. Today 28 academic libraries, including those at Chapel Hill and at Duke, have holdings in excess of two million. In 1935 the Library at Chapel Hill held fewer than 300,000 volumes and in 1955, slightly more than 750,000 volumes; in 1960, its holdings exceeded 1,000,000 volumes and in 1974, 2,000,000 volumes. This rate of growth, however, did not keep pace with that of comparable university libraries.

Whether the tremendous growth in knowledge and in books that created this universal expansion of libraries has crested or whether it will continue to increase in rate of growth is a matter under serious debate among the experts. Outstanding libraries will continue for the rest of this century to grow rapidly in numbers of volumes--at least at a rate approximating the present one. While no one knows the actual mix of books, microforms, computer storage, telefacsimile resources, and technological devices that will be optimal at the end of this century, and no one can predict with any assurance the course that libraries will be taking in the twenty-first century, the gross needs for space and service for the rest of this century can be charted with reasonable assurance, and plans can be made to meet them and at the same time to have the libraries at the University at Chapel

Hill prepared to respond quickly and efficiently to the changes which the future may hold after 1995.

The following plan is an attempt to chart a course to the year 1995 and by that course to guarantee that the University and the state that it serves will have the needed library resources, without placing major limitations on the future. It aims at a definition of needs, while remaining flexible about the details of meeting those needs--particularly in areas where change is rapidly occurring and future directions are difficult to predict. It attempts to project on the basis of what is now known without being bound to the assumptions of the past or being committed to any particular speculations about the future. And finally the objective of the plan which follows is to see that, for the service of the State and the University, adequate library resources are assembled, properly housed and maintained, and made widely and readily usable to the largest possible number of potential users.

NEW YORK STATE LIBRARY

A TEN YEAR PROGRAM FOR THE STATE LIBRARY

OUTLINE OF BASIC CONCEPTS

DISCUSSION DRAFT 5/73

Contents of Document

1. Purpose of Document
2. Forecast of Environment
3. Mission and Service Objectives
4. Staffing and Administrative Organization
5. Collection Development
6. Collection Organization and Access
7. Network Relationships

Purpose of Document

The purpose of this statement is to provide a basis for program, budget, and building planning for the New York State Library over the next decade. It attempts to forecast, on the basis of the best available information and judgment, the major trends which will have an impact on State Library operations and programs. It also attempts to indicate the most desirable and feasible course of development for the State Library. It is intended to provide general guidance to State Library staff, to inform Education Department and budget personnel, and to establish a framework within which more detailed planning may take place. Because change is characteristic of the world we live in, and because our ability to forecast is necessarily imperfect, periodic review of this policy statement should be undertaken by State Library staff and administration, State Education Department administration, and the Regents Advisory Council on Libraries.

Forecast of Environment

This program statement is based upon certain key principles and assumptions. These are:

1. That knowledge, scholarship and research have become increasingly interdisciplinary in nature, that the boundaries between scholarly disciplines are constantly changing, and that former organizational compartments have, therefore, become less useful.
2. That knowledge and information will play an increasingly critical role in society, and that there will be a growing sophistication in information needs and demands, particularly from the research, development and academic communities. The latter, along with "high-technology" manufacturing and health and medical services--all heavily information-dependent activities--have been identified as areas of high potential for growth in the economy of New York State during the decade of the seventies. Growing demand in these sectors will mean an increasing utilization of the New York State Interlibrary Loan network, and will require the development of new staff skills, and the full use of non-conventional information resources.
3. That the widening scope of State governmental interests, activities, and programs--ranging today from atomic development to human welfare problems--will mean an increasing need and sophistication of demand for information services in State agencies, the Executive Department, the Legislature, and the Judiciary. This need will require the development of new relationships

with agency libraries, specialized and intensive customized information services, improved programs for handling State publications, and on-site client services in State agencies.

4. That changing technology, the shortened work week, and the increased availability of leisure time will intensify public interest in the arts and culture, and will lead to an expansion of adult independent learning activities and of such library-dependent programs as the external degree.

5. That the rate and volume of information available will continue to increase exponentially (book titles published in the United States increased from in to in , for example), making the problems of acquisition, organization, storage and retrieval of information resources more intense. During the coming decade, these problems may require dramatic new solutions, and the task of effective information delivery may become as much a matter of filtering and selection as of extension of access to resources.

6. That the cost of human resources will continue to rise in the decade ahead, and that this factor will be especially critical in library planning because the library is a labor intensive organization. Increasing attention will need to be given to operations improvement, centralization of operations and services, more favorable support-to-professional staff ratios, the utilization of information and subject specialists to provide in-depth information services, the development of alternate

career ladders, and the adoption of a salary and staff structure appropriate to the changing role of the Library.

7. That non-print and non-conventional information storage media, including films, records, audio and video tapes, and micro and computer information data bases, will provide an increasingly important supplement to conventional library resources. Effective and cost-beneficial computer systems, to support library operations and for information retrieval purposes, will be developed on a cooperative and cost-sharing basis in the decade ahead, and national library computer networks will be a reality.
8. That the competition for public moneys will continue to increase, and that, while categorical Federal aid programs will diminish, the tax revenues available to the State and Federal government will continue to rise, as gross national product rises. At the same time, the number of competitive, non-library information delivery systems will grow in both number and kind. The Library will need to be adaptive, changing, and responsive to new demands if it is to continue to maintain its position as a convenient, public, central resource for information services.
9. That the number of aged persons in the population, including the blind and visually handicapped, will increase in the next decade, and that, because of the decline in the birth rate during and , ours will become less of a youth-oriented culture. Because of the Library's responsibility for direct service to the former, this aspect of our program will need to receive increased emphasis and attention.

10. That local and regional library resources and programs will continue to expand and be strengthened, and that networking and cooperative sharing of resources will increase, intensifying the need for statewide coordinative, switching and referral responsibilities.

Mission and Service Objectives

1. Two major service objectives of the State Library, of equal importance: to meet the information needs of state government, and to meet the cultural and information needs of the people of the state.
2. The changing information needs of state government require the development of new administrative relationships, and enhanced and specialized services differing in quality and kind from those offered to a statewide clientele.
3. Major role as an intermediate resource in statewide network, interloan services supplementing local and regional resources, role in coordinated referral through NYSILL to other resources in New York State and elsewhere.
4. Need for enhanced and expanded services to blind and visually handicapped, work towards phase out of direct lending services to specialized professions.
5. Recognize the reality of current unmet library and information needs of elementary and secondary school students, and health and correctional institution populations, work towards development of appropriate referral structures to meet these needs at local, regional, and state levels, and phase out direct State

Library services to these populations within five years.

6. Recognize reality of role as major local resource, work cooperatively with other local institutions to diminish number of direct local users. Recognize the need for adequate funding and staffing to provide improved quality services to all appropriate and eligible on-site users.
7. Recognize that the State Library is a major research collection (in the United States, in upstate New York) with unique resources, with special responsibilities to preserve, document, and record the history, life, and culture of New York State. These collections will attract scholars from throughout the United States, who should receive services of a quality appropriate to a distinguished research library.

Staffing and Administrative Organization

1. Staff is link between collection and user; quality, kind, organization and effective use of staff will directly affect quality, cost and kinds of service Library can provide.
2. Recognizing personnel costs as a volatile component of costs of library service, explore use of paraprofessional and superclerical grades, change clerical-to-professional ratio so as to decrease the number of professionals and increase clerical support.
3. Recognize the need to raise the level, quality, and responsibilities of professional staff. Explore the creation of a "master librarian" class, with promotion and compensation independent

of administrative or supervisory responsibility.

4. Create and develop opportunities for staff participation in planning and policy making, develop collegial relationships, encourage participative management.
5. Experiment with new forms of staff assignment, provide greater flexibility in utilization, employ team approach and "group practice" concepts to increase effectiveness and job satisfaction.
6. The impact of new computer and other support technology in technical services will increase the need for clerical and paraprofessional grades in that area, and will allow professional staff time to be devoted to judgemental, supervisory, and other tasks appropriate to professional skills. In the reader services area, the development of new levels of skills will be required in order for professional staff to act as effective intermediaries between computer data bases and clients.
7. Recognize professional development and continuing education as joint staff-employer responsibility.
8. Reorganize administrative structure to reflect changing needs and objectives, and the changing boundaries of knowledge, begin implementation of administrative reorganization of reader services along the following general lines:
    A. Establish an office for the coordination of Legislative and State governmental information services.
    B. Consolidate Law and Legislative Reference into

a Social Sciences and Law Section.

C. Consolidate Medical and Science and Technology Sections.

D. Establish Humanities and General Reference Section.

E. Establish Special Services and Materials Section to provide video, audio, film and other non-print services, including special services to the blind.

F. Consolidate Manuscripts and History, Rare Books into a Special Collections Section, including maps, newspapers, and State archives if assigned to the State Library.

G. Centralize circulation, interloan and stack services.

9. Because of the scope, impact and rapidity of changes in organization, staffing, and services in the decade ahead, there will be a critical need to strengthen the administrative support services available to the Library, in order to provide effective long-range planning, forecasting and budgeting, systems, cost, and operations analysis, and utilization of computer and other technologies. Will require the utilization of specialized staff, as well as the development of analytical and problem-solving skills and attitudes generally in Library staff.

10. Recognize, and strive to correct, through effective affirmative

action programs, imbalances in staff make-up related to sex or ethnic origin.

Collection Development

1. Collection development must reflect the multiple roles of the State Library, as a direct service agency for state government, as a primary resource for the blind and visually handicapped, as a secondary or intermediate resource in the interloan network, and as a major research collection.
2. As a secondary or intermediate resource, the State Library supplements local collections of considerable diversity in quality and scope. The Library should continue to develop intermediate level collections as indicated in the acquisitions policy, responsive to known needs in the interloan network. It should develop especially strong collections in areas where adequate resources are known not to be available in the network. In development of the collections, emphasis should also be given to areas of high interloan demand, in order to reduce cost and response time, but only with respect to subject and type of materials acquired, not level of material. The Library should act as a last copy or storage repository only in those areas where its collection responsibilities are identified in the acquisitions policy as being comprehensive. There is a need to strengthen bibliographic and locational resources, in line with the central referral and verification role of the Library in the network.
3. As a direct service agency for state government, the Library will be required to collect materials not within its scope as an inter-

mediate resource in the interloan network. There will be a need to significantly enhance collections responsive to state agency and legislative interests, and to recognize the need for multiple copies of materials in high demand.

4. Enriched and enlarged services to the blind and visually handicapped will require the allocation of resources to support the acquisition and production of materials "on-demand," of broader scope and in the newer formats.

5. The State Library has a special responsibility to collect materials which document the life, history and culture of New York State. Emphasis should be given to building comprehensive collections of books, pamphlets, manuscripts, maps, and newspapers in support of this special responsibility. Priority support should be given to the development of a State Archives.

6. Because of the increasing importance of non-print and non-conventional information resources (such as films, audio and video tapes, and computer-based files), special attention should be given to building adequate collections of such materials in support of the Library's service objectives.

7. The State Library Acquisitions Policy of is reaffirmed. This policy should be regularly reviewed and revised as part of a comprehensive statewide collection development program.

Collection Organization and Access

1. The costs and complexities of creating and maintaining large card

catalogs dictate that the Library explore alternate methods of bibliographic access. These include acceptance of the principle that not all materials in the Library require full cataloging, but all materials require some form of organization and control from time of receipt. Consideration should be given to utilization of computer and microform technology, the establishment of "self-organizing" collections, and to the fuller use of indexes and bibliographies as supplements to the conventional bibliographic record.

2. Shelf organization plans should recognize that classification is not necessary or cost/beneficial for all materials in the Library. At the same time, the importance and value of "shelf research" as a supplement to catalogs and indexes in providing effective research and reference services must be recognized. Use of the Dewey Decimal Classification will be continued, although study of the costs, benefits and problems associated with the adoption of alternate classification systems will be undertaken.

3. Maximum convenience to both eligible on-site users and staff is served by providing maximum open access to shelves, consistent with the security required by special, rare or valuable materials. Essential to the strategy of opening up larger portions of the collection to on-site user access is the identification of those materials requiring special security, and adequate permanent staffing to insure effective collection management and control.

Network Relationships

1. The State Library stands at the hub of a major bibliographic and interloan network in New York State. It serves this network in a coordinating and management role, as a bibliographic and switching center, and as an intermediate or comprehensive lending resource, in accordance with the scope of its collections.
2. The complexities, scope, and extent of knowledge and information needs today require that the State Library recognize that its resources alone are insufficient to meet the informational needs of the government and people of the State.
3. It is the unique responsibility of the State Library to know what information stores exist, to be able to match requests for information with resources (wherever located), to know what information is not provided and to seek ways of making it available, to develop the bibliographic and operating systems to carry out these responsibilities, and to initiate and participate in evaluations of availability, adequacy and delivery of Statewide information resources.
4. State Library participation in the planning, design, implementation, and utilization of the increasingly important and emerging computer networks is essential if the Library is to effectively provide the range of services needed by its clients. Close attention should be given to the cost-benefits of making computer-based information retrieval services and shared data base resources available to both interloan and eligible on-site users.

5. The State Library is fully committed to the encouragement of local, point of access use of libraries, to the development of adequate local and regional resources and information systems, to the full use of local and regional resources prior to recourse to the State Library, and to the avoidance of practices at the State Library level which undercut or undermine the development of adequate community resources.

6. As networks develop more fully, and as the State Library redefines and modifies, limits or changes its collection or access policies, such changes should be taken with the advice and counsel of its client groups, and with an overriding awareness of the Library's responsibility to the people of the State. At the level of general policy development, the primary advisory responsibility resides with the Regents Advisory Council. In areas where direct services are provided, the State Library should also seek to develop panels of appropriate client groups to advise, promote, evaluate and assist in the development of such services.

7. The development of State Library programs and policies is inextricably related to the over-all development of library and information services in the State. The success of both is dependent upon effective interaction between field, Division of Library Development, and State Library staff. While the primary responsibility for field work resides with the Division of Library Development, and all field work shall be at its initiative and under its control, efforts should be made to promote such effective interaction. Such devices as joint staff committees, the exchange of staff assign-

ments, and a team approach in planning, implementation, and in providing technical and advisory support, should be utilized where appropriate, particularly in such mutually dependent areas as interloan programs, computer applications, services to the blind and visually handicapped, and resource development.

SELECTED EXCERPT FROM THE MILTON S. EISENHOWER LIBRARY M.R.A.P. REPORT

THE JOHNS HOPKINS UNIVERSITY

SEPTEMBER 1976

CHAPTER FOUR

PLANNING

Introduction

This paper presents the results of a review and analysis of the dynamics of planning in the Eisenhower Library, including the interaction between planning in the Library and in other sectors of the University. It also includes an examination of the Library's planning as it relates to planning in other Hopkins libraries and to the other libraries with which it is associated.

Specifically, the Task Force was directed to describe, analyze and, where appropriate, make recommendations in the following areas:

1. Effect of Library planning in determining the role of the Library in the University, and in relationship with other JHU libraries.

2. Coordination of Library planning with planning in other sectors of the University.

3. Coordination of Eisenhower Library planning with other associated libraries.

4. Planning systems, procedures and activities of the Library.

5. Relationship of planning to Library resources and programs.

6. Communication systems required for Library planning.

7. Mechanisms for reviewing plans and planning procedures.

As an organizational activity, the function of planning is to manage, in a rational manner, the changes to which every institution is subject. Planning is the continuous process of establishing objectives, determining courses of action, allocating resources, and evaluating progress.

In examining the external aspects of the planning process, the report focuses on the interchange of information necessary to planning. In the section concerning the planning procedures and

activities of the Library, the focus is on the roles of those involved in the planning process.

External Description

Planning in the University

Although the University presently has no long-range planning group, past attempts to establish long-range plans are reflected in the reports issued by long-range planning committees in 1966 and 1969.[1] These reports, together with recent statements of University officials, indicate the following elements in the strategy for the long-range development of the institution:

-the University will remain at approximately its present size and will maintain the existing ratio of graduate to undergraduate students;

-there will be a continuing effort to attract and retain scholars of the highest calibre on the faculty;

-the number of interdisciplinary and interdivisional programs will increase, as will the number of joint faculty appointments in order to achieve greater cohesion and coordination among the divisions of the University;

-academic innovation will be achieved by substituting new programs in promising areas for weaker programs in areas of declining interest;

-there will be an expansion of continuing education programs aimed at the career professional;

-the financial stability of the University must be maintained.

The planning process within the University designed to acheive this long-range development involves standing committees, ad hoc committees, department chairmen, University officials, and individual faculty members. It is clear from President Steven Muller's statement that the planning for academic programs is the basis for

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1 Johns Hopkins University. Long Range Planning Committee. Report to the President. 1966. and The Johns Hopkins University: a summary of needs; a report to the President from the University Planning Committee, April 1969.

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administrative and resource planning in the University: "Our sole mission and virtue lies in our academic programs. These, therefore have a clear, unrivaled priority that must govern every other consideration."[2]

Within the Homewood Divisions, the Faculty of Arts and Sciences and the Evening College have distinct planning processes for academic programs. For the Faculty of Arts and Sciences, planning related to changes in academic programs, including curriculum and faculty appointments, occurs through various channels. While the Dean of Arts and Sciences has the major responsibility for faculty appointments, the process usually includes individual faculty members, department chairmen and ad hoc committees, with final approval by the Academic Council. The Committee on Undergraduate Studies, chaired by the Dean of Graduate and Undergraduate Studies, considers proposals for major changes in undergraduate programs and requirements, presenting recommendations to the Academic Council. At the graduate level, proposals for major changes in academic programs are originated by individual faculty members within departments or by ad-hoc committees. These proposals are submitted to the Graduate Board, an interdivisional standing committee chaired by the Homewood Dean of Graduate and Undergraduate Studies, of which the Dean of Arts and Sciences is an ex officio member. The Graduate Board's recommendations are submitted to the Academic Council. Proposals for change are usually initiated by interested individuals and the consultation and negotiation regarding these proposals often takes place outside the formal meetings of these committees and Councils.

In the Evening College, proposed changes in programs, curriculum and full-time faculty appointments are prepared and documented by ad hoc planning committees appointed by the Dean of the Evening College. The proposals are then submitted by the Dean to the Vice President for the Homewood Divisions and to the Evening College Academic Council.

The Provost's office is primarily concerned with investigating and planning for interdivisional and interdisciplinary programs. Ad hoc committees composed of faculty members have been established to make recommendations concerning various cross-divisional academic subjects.

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2 Johns Hopkins Gazette, May 8, 1975.

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Relationship of Library and University Planning

The Library does not participate directly in the University planning process, although the Library Advisory Committee does constitute a formal link between the University community and the Library. This committee, meeting monthly during the academic year, consists of members of the faculty and student body and is chaired by the Vice President for the Homewood Divisions. The Librarian, who is an ex officio member, uses this forum to present plans for changes in Library activities, programs, policies and operations. The meetings also are used as a forum for Library user complaints and suggestions and provide an opportunity for the explication of Library procedures by the Librarian and his staff. There is no evidence that this committee serves to communicate information regarding evolving academic plans to the Librarian.

The Librarian's contacts with individual faculty members result in a substantive source of information which appears to influence Library planning. The Librarian has established a close working relationship with the Vice President for the Homewood Divisions to whom he reports, and communication is facilitated by weekly meetings. The Vice President, because of his role within the diffuse planning process, provides a means by which the Librarian gains knowledge of planned changes in the Homewood Divisions, and the University receives information regarding Library plans. Further communication of information is maintained by staff contacts with the Hopkins community, the bibliographers' and collection development librarians' contacts with faculty and students, and by scanning the campus publications, the Gazette and Newsletter. Information obtained through these channels is applied to the planning of projects in which the particular individual is involved.

Relationship with Hopkins and non-Hopkins libraries

There are many libraries at Johns Hopkins and the Eisenhower Library interacts on a continuing basis with the four major University libraries: Welch, the School of Public Health and Hygiene, SAIS, and APL. The plans of each of these five libraries must be responsive to the requirements of different constituencies and are subject to review by University administrators who are organizationally independent of each other.[3]

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3 See Figure 1.

Figure 1

LIBRARY	RESPONSIBILITY	LIBRARIAN REPORTS TO	LOCATION
MSE	To support research and instructional requirements of faculty and students (undergraduate, graduate, post graduate) of Faculty of Arts & Sciences and of the Evening College.	Vice President of Homewood Divisions	Homewood campus in north-central Baltimore
SAIS	To respond to graduate instruction and scholarly research requirements of SAIS faculty and students	Dean of School for Advanced International Studies	Washington, D.C.
APL	To fill the specialized research requirements of scientists at the Applied Physics Laboratory	Director of APL	near Laurel, Md. (Howard Co.)
Welch	To serve the research and instructional requirements of faculty, students, researchers and staff of the Medical Institutions.	Dean of the School of Medicine	East Baltimore
Public Health & Hygiene	To serve the research and instructional requirements of faculty, students and researchers of the School of Public Health & Hygiene	Dean of the School of Public Health & Hygiene	East Baltimore

The formally established mechanism for interaction between the five Hopkins libraries is the University Library Council. This Council, composed of the directors of the libraries, was charged by the Provost "...to explore all possible methods of cooperation, interaction and where possible, centralization to provide the maximum utilization of the University in the operation of its libraries."[4]

During the past three years, the Eisenhower Library has been involved with one or more of the other four libraries in formulating plans for specific cooperative projects. At present, many of these planning efforts have been initiated by, or confined to joint ventures between Welch and Eisenhower. In the course of the Council's discussions of specific issues and operational problems, plans which have been made for cooperative efforts between two libraries may be broadened to include other libraries.

Recently the Council prepared and disseminated to University officials a report on the state of the University libraries. The report raised important questions concerning the University's long-range planning for its libraries, in particular, with regard to questions of centralization, budgeting and resource sharing, which are faced by the libraries jointly and individually. The members of the Council are now in the process of redefining the role of the Council and the librarians generally expressed the view that the Council's role in planning cooperative ventures will grow, mainly because of budgetary constraints.

Planning in the Eisenhower Library both affects and is affected by its membership in library organizations. The Association of Research Libraries provides aids for measuring effectiveness and for assessing planning capabilities and requirements. The Librarian is chairman of ARL's Preservation Committee which can influence the planning of preservation efforts of ARL member libraries. The Librarian also is a member of the State Library Resource Center's Advisory Committee which offers this Library a potential to affect the development of library networks throughout the state. SLRC has already influenced plans for an expanded inter-library loan service. The Library's participation in OCLC through PALINET and its membership in the Center for Research Libraries has entailed continuing communication of information which affects the plans of this Library and of these organizations.

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4 Minutes of the Meeting, University Library Council, February 27, 1975.

Internal Description

Planning activities in the Library are devoted to specific projects and programs. The identification of the need for change in Library programs is usually based on questions, complaints or suggestions from faculty members, students, University officials and staff. Although there is no formally designated planning officer in the Library, the Librarian generally assumes the responsibility for formulating plans. The Librarian, with the advice of University officials, faculty members and/or the Library Advisory Committee, decides which projects are to be undertaken.

The Librarian usually assigns the responsibility for planning and implementation of specific projects to the appropriate division heads. In the process of preparing these plans, the resources required, i.e. funds, staff, physical facilities, etc., are assessed and the Business Manager is involved in costing out new or expanded projects and in making fund transfers to support new or expanded programs. Top administrators sometimes exchange information about these plans in the course of discussions at the weekly Executive Committee meetings.

The involvement in or knowledge of planning activities at other levels in the Library varies. While most department heads are responsible for detailed planning for their departments, some stated that plans are made for their departments by top level administrators which they are then expected to carry out. Some are regularly included in, and aware of, planning activities in other departments within their division; others have no involvement in or awareness of planned activities in the division. Some department heads regularly involve their staff in planning projects, others do not.

Outside of the normal administrative channels, members of the staff from various levels have been involved in planning special programs when appointed to ad hoc committees or assigned to special projects by the Librarian and/or Associate Librarian. At the monthly staff meetings, the Librarian announces changes in programs which are underway or which have been planned.

Program plans are reviewed by the Librarian before they are implemented. Once the plans are put into practice, the evaluation of the programs is based on the reactions of the Library's users and staff.

Analysis

External Analysis

The diffuse and informal nature of the University's planning efforts together with the absence of any central, readily identifiable

place where long-range or short-range planning takes place works against the establishment of a systematic relationship between Library planning and University planning. The strengthening of informal links, increased personal contacts with faculty and students, and the designation of Collection Development Librarians to act as links with the academic community, have improved the Library's capabilities for discovering information concerning evolving academic plans. Specific Library projects or activities may be planned in response to University developments. However, the information received by top management and others in the Library concerning academic plans is not systematically collected and used for overall Library planning.

Informal contacts have resulted in a growing awareness by the University community of pressures on the Library, but have not led to a systematic consideration and inclusion of the Library's plans, capabilities, and resources at an early stage in the University's planning process. Assessment of changes required in Library programs usually takes place after the plans and decisions for the academic programs have been completed.

In its relationships with the other Hopkins libraries, the Library has undertaken proposals to plan for cooperative efforts within the constraints imposed by the geographic location, the requirements of different constituencies, and the administrative autonomy of the divisions of each library. Although the University Library Council provides a forum for discussion of planned and proposed common efforts, the Council has not yet fully addressed itself to examining University developments in relation to the library services for faculty and students across divisional lines. Although each Librarian reports to a different University administrator, the University Library Council reports to the Provost, who is principally concerned with establishing and investigating inter-disciplinary and inter-divisional programs. The University Library Council provides the only mechanism by which coordinated planning information can be incorporated into the plans of each library and plans can be formulated for delivering library service to meet the full range of University requirements.

Information concerning change, originating from within the University and from external sources needs to be systematically collected, compiled and disseminated throughout the Library to assure that Library planning is closely related to developments in the University and in the library world.

Internal Analysis

The need to resolve specific problems affecting the Library's credibility in the University community and recent changes in top Library administration have militated against establishment of a

comprehensive planning system within the Library. The Library's planning is responsive to expressed user and University concerns about Library programs and activities. The procedures are flexible, informal, and center around the Librarian. Although the feasibility of each new program or project is evaluated in terms of the resources available, the proposals should be reviewed in the context of library-wide priorities for development.

Current Library planning is generally predicated upon the reversal or re-planning of past decisions. The deficiencies in such an approach were characterized by responses to the Needs Assessment Survey, such as: "management by crisis," "ad hoc solutions," and "responding to crises and immediate problems with short-range solutions." While the planning efforts of the top Library administrators have focused on instituting program changes to correct past deficiencies, inadequate attention has been given to articulating the strategy for long-range growth and development of the Library.

To be truly effective the planning process must be comprehensive, coordinated and continuous. The lack of a uniform, common, planning mechanism has fragmented the planning process into several often unrelated and conflicting parts. The Library needs a statement indicating areas in which Library growth will take place, areas where Library service will be maintained at present levels, and areas which will be reduced or eliminated. This overall plan, based on University developments, would provide the framework within which project and program plans for the Eisenhower Library would be formulated and reviewed.

Planning roles and responsibilities need to be clearly defined to assure that the information, perspectives, and creativity of staff from all levels are utilized in identifying and responding to the challenges, the opportunities and the problems engendered by changes in the Library and its environment. Formal channels of communication need to be established to elicit information and suggestions from the staff. The Librarian, together with his top administrative aides, should be the nucleus for coordinated, comprehensive planning for the future development of the Library.

The prime responsibility for identifying the need for changes in Library programs and for planning specific projects to meet the Library needs of the University community must be shifted to the Library's operational units. While the reaction of users must always be an essential factor in the review process, the planning process needs to include a built-in review step: the evaluation of progress toward established objectives. This review of results will facilitate the Library's capabilities for timely identification of needed change in the Library's plans and planning procedures. As the Library establishes its priorities and objectives, examines and decides on courses of action, makes resource decisions, and evaluates

its progress, it will be better able to present to University planners a realistic assessment of Library resources, costs, and capabilities for support of University programs.

Recommendations

1. The Librarian should draft a document setting forth the strategy for the long-range development of the Library. This overall plan should be presented to the Library staff to gain additional perspectives, and then to the University community.

2. Project and program plans, based on the overall plan, should be formulated at the departmental or work-group level by supervisors and staff working together. These operational plans should be reviewed by a divisional group.

3. A Library Planning Council should be established. This group, chaired by the Librarian, and consisting of the members of the Executive Committee and of three to four additional staff members should:

   a) review unit plans in the light of the overall plan;

   b) identify the full range of resource allocation implications in the light of priorities for library development;

   c) identify those elements of the plans which require closely coordinated inter-departmental cooperation;

   d) periodically review planning procedures and results throughout the Library, including the Library-wide procedures recommended here.

4. The Associate Librarian should be designated as the Library officer with responsibility for soliciting and coordinating information concerning changes in the University, the Library and the library world. This information should be disseminated throughout the Library to be used in the formulation and continuous review of plans.

5. Written reports which contain a review and evaluation of progress should be prepared periodically by staff involved in the formulation and

implementation of plans. The annual reports should be used to provide this review on a yearly basis.

6. To assist the University in its planning, the Librarian should initiate further study to find the most effective means of informing the University of the Library's capabilities, resources, and specialized expertise.

7. The University Library Council should:

   a) draft a document setting forth the strategy for the long-range development of University-wide library service. This document should be presented to the Provost;

   b) review the plans of individual libraries within the context of the overall planning document in order to promote cost effectiveness and to increase areas of cooperation;

   c) request from the Provost reports and other information relating to inter-divisional and inter-disciplinary programs in order to enhance the Council's capability to plan on a University-wide basis.

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Brigitta Medaugh
Bea Siegel
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PLANNING TASK FORCE

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PLANNING TASK FORCE

Methodology

"The formal process of setting objectives, determining courses of action to achieve objectives, allocating resources, and evaluating progress toward objectives"[1] was accepted by the Task Force as our working definition of planning. Documentation of planning at all levels is difficult to locate; therefore, most information was gathered from interviews with a representative group of Library staff members, from the Chairman of the Senate Library Committee and from two members of the University Administration. In preparation for the investigation, the Task Force relied on the MRAP Manual and readings suggested there, as well as other general materials on management and planning. Reports from other universities which have undertaken the MRAP project were studied with interest, as was the tape of Dr. Lewis W. Cochran's discussion with the MRAP Study Team on "Trends in Higher Education". The scope of the investigation was determined to be:

(1) Planning at the University level

(2) Planning within the Library

  (a) At the top administrative level

  (b) At the middle management level

(3) The interaction between levels

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[1]Duane E. Webster, Library Management Review and Analysis Program: A Handbook for Guiding Change and Improvement in Research Library Management; Volume II: Manual. Draft ed. (Washington, D. C., Office of University Library Management Studies, Association of Research Libraries, 1973), p. 108.

We have made an effort to scrutinize planning procedures as they are presently carried out.

Planning at the University Level

After the departure in 1973 of Dr. A. D. Albright (Vice-President for Academic Planning) to become Head of the Council on Public Higher Education, the planning function of the University which had been centralized in his office was widely diffused. There is at present no central office in charge of planning *per se*. This is not to say that no planning is done. To the contrary, there are numerous pockets of planning throughout the campus.

The process of academic planning starts with the academic departments and their chairmen, moves on to the colleges and their deans, then to the appropriate University Councils and finally to the Vice-President for Academic Affairs. The University Senate plays as important role as a forum for the discussion of plans and the formulation of recommendations which are made to the President of the University. The Office of Academic Planning, the Office of Management Information and Analysis, the Office of Institutional Studies, and the Office of Business Affairs all contribute in various ways to the planning procedures of the University as a whole. Feasibility studies are made, *ad hoc* committees are appointed to investigate specific areas and develop plans of action, and statistical reports are generated by the Computing Center. A plethora of data, figures and ideas pours through the veins of the University. However, some administrative officers

feel that more pertinent information is needed to support good planning and that better coordination of the administrative units would be helpful. There are external influences which have impact on the planning program, e.g., the Council on Public Higher Education. It is this body which has requested a Five-Year Plan for the University of Kentucky as well as for all public universities in the state.

Throughout the University hierarchy, authority is delegated to the academic officers who are responsible for their units. However, accountability for the academic program as a whole rests with the Vice-President for Academic Affairs who reports to the President of the University. Ultimately priorities must be set and decisions must be made at that level.

In planning the broad academic program, financial constrictions must always be considered, but there is another factor which is evaluated, i.e., the compatibility of a plan with the role model of the University of Kentucky. The University's role in the sphere of education may be briefly delineated as, first, a research institution which supports basic research, second, a land grant school which emphasizes agriculture and the improvement of Kentucky crops, third, an institution which responds to the manpower needs of the state, and fourth, a place where Kentucky young people can get a good education.

The framework within which academic planning is carried forward is also the framework within which planning for the Library must be done. The goals and objectives of the academic units necessarily have a strong bearing on those of

the Library. The Director of Libraries reports directly to the Vice-President for Academic Affairs.

Planning Within the Library - In the Director's Office

The tenure of the present Director of Libraries began in March 1974, and that of his staff in July 1974. As Acting Director for eight months prior to the permanent appointment, the administrator was confronted with problems which demanded immediate attention. The completion of the new building, the transfer of equipment and personnel from the old building to the new, and the renovation of the old building required an intensive planning effort which could not be postponed. It would have been inappropriate (and impossible) for the Acting Director to initiate long-range planning during this period.

After the appointment was made permanent and an administrative staff was organized, the Director and his staff concentrated their planning in the areas of the Library which they felt most needed attention. Some troublesome situations such as the difficulties with the blanket order plan have been corrected. Plans are in progress to remedy other problems; e.g., the accounting system will be updated and the Periodical Reading Room will become a reality. Most important, the staff has been moved toward an interest in planning. This is evident in the surveys which MRAP conducted earlier and from the interviews scheduled by the Planning Task Force.

As yet, there is little evidence of Library-wide long-range planning. The Director informally compiles ideas and changes he would like to implement in the future. These items

are discussed with others for opinions and reactions, and may in time evolve into formal long-range planning.

The Director is aware that plans must be tempered by factors outside and within the Library. The planning of the Director must reflect changes in the University. For this reason he communicates frequently with the Vice-President for Academic Affairs and with the Chairman of the Faculty Senate Library Committee concerning Library matters. The Annual Report of the Library, which is sent to the Vice-President, and regular reports to the Senate Library Committee are formal instruments of communication between the Library and the University community. It should be noted that the Library's Annual Report, 1973-74, reinstated this custom after a lapse of several years during which annual reports were neither written nor transmitted to the University. The Resource Utilization Unit is a liaison with the academic units and supplies the Director with needed information. The size of the budget allocation is a constant restraint, although there is flexibility in the management of all funds. Other outside factors, such as inter-library cooperation and networks such as Southeastern Library Network (hereinafter cited as SOLINET), also affect the plans of the Director.

Within the Library, the Director is aware of the importance of timing in implementation, the possibility of disagreement from the staff and difficulty of predicting the impact of changes on the staff. He feels that he has not been totally successful in communicating his ideas to the staff. To offset these difficulties, the Director and the Associate Director

try to encourage other levels of management to plan for units within the Library and to contribute to the library-wide planning effort. They feel that unit heads should be responsible for their own planning and they wish to involve the personnel who implement decisions in the planning process. New ideas and long-range plans for the individual units would find a hospitable reception in the Director's Office. To facilitate communication, an "open door" policy is maintained. More formal channels of communication are also available: Administrative Council Meetings, Branch Librarians' meetings, King Department Heads' meetings, King Public Services Librarians' meetings and the Library Faculty meetings. Ad Hoc committees can be appointed to deal with specific problems or issues. All of these mechanisms are designed to facilitate discussion of planning efforts. Later in this report, the efficacy of these mechanisms will be discussed from the staff viewpoint.

The Director's Office tries to bring new ideas into the Library by several means: 1) vacant positions may be filled by persons whose training or experience is conducive to undertaking innovations; 2) the staff, regardless of rank, is encouraged to attend state, regional or national conferences, workshops, etc. and to enroll in courses at the University which are relevant to the work they do; 3) staff members are urged to keep abreast of current literature in their fields of specialty and in librarianship as a whole.

Another example of the administration's desire to encourage fresh sources of information is the invitation to the Faculty of the Library to elect a member to meet each week with the

Administrative Committee. Hopefully, this representative of the professional staff will provide direct communication to the administration of staff problems, reactions, aspirations and so on. On the other hand, some of the mystery of administrative decisions may be dispelled.

When the Task Force interviewed the administrative officers of the Library, several points were frequently emphasized: 1) the need for more statistical data and analysis of them to provide better bases for planning; 2) the need for management officers at all levels to consider an overview of their units; 3) the need for management officers to relate their units to the entire Library operation; 4) the need for management officers to reflect on broader issues such as long-range programs and objectives. In addition, there is a need for such things as program reports which would document planning more adequately. One administrator stressed the importance of interaction between all segments of the Library system.

Planning Within the Library - At the Middle Management Level Interaction With the Director's Office

The efforts of the Director's Office, described in the preceding section, have raised the planning consciousness of the Library staff. The general consensus of the staff is that they have a greater participation in Library management than they had under the previous administration. Most of the staff feel that communication between middle and upper management has improved through the efforts of the current administration.

There is a wide variety of planning at the middle management level. Some long-range planning is evident; several staff

members are following specific goals and objectives within their own units; examples are the automation of the Acquisitions budget and the planning for expansion space over the coming years by the Law Librarian. It should be pointed out that some people do no planning at all, feeling it should come from the Director's Office. For the most, however, the planning that does exist is either informal or in response to crisis. From the interviews conducted by this Task Force, it was determined that this situation exists for several reasons: 1) at least two members of the Library staff believed they were involved too late to give careful consideration to and advice on major changes that have been decided in the Director's Office, e.g., the relocation of various units in King Library; 2) several staff members stated that the lack of clear goals and objectives for the Library as a whole inhibits unit heads from formulating their own goals and objectives; 3) some unit heads are not aware that the Director's Office wants written monthly reports; 4) because clear lines of authority have not been established for several positions, uncertainty exists on the part of several unit heads concerning the degree of authority delegated to them for planning and decision-making; 5) some unit heads do not know the purpose of the statistics they compile for the Director's Office since they receive no feedback concerning them; 6) even though formal channels of communication now exist, many staff members agree that the amount of information coming from the Driector's Office is belated and vague. No one interviewed was able to give a reason for this situation; and 7) poor calculation of impact

of changes by the Director's Office has created fear of job displacement and loss of authority among middle management. Several examples to illustrate this condition were given by staff members.

Problems of the Middle Management

Some people resist change because of their respect for tradition and precedence. Some middle managers are unaware of the types of data needed for planning. Several unit heads need to formulate specific goals and objectives; present planning is informal and inadequately documented. Those units which have already determined their own goals and objectives can not always relate them to Library-wide planning. Lack of appreciation for total planning on the part of several heads hinders them from thinking in Library-wide rather than in unit terms. In addition, there are several unit heads who feel threatened by ideas given them by their staff. Generally speaking, communication in planning information is ineffectual. Finally, some librarians do not perceive that it is the role of a unit head as an administrator to think and to develop ideas needed for creative planning; others need to delegate all possible operative tasks to their staff members in order to give them time to think creatively.

Factors Which Encourage Planning Among Middle Management

The Library staff generally agrees that good planning is important and necessary. Some good documentation of planning has been started by unit heads, e.g., the gathering of statistics by the Head of Circulation. Most branch librarians exercise the authority to plan and make decisions for their

units because of their autonomy and physical separation from King Library. Some unit heads work closely with their staff to try to prepare them for change. The Library staff takes advantage of outside communication avenues such as conferences, library literature, and input from staff members with experience outside the University of Kentucky Libraries. Informal communication is good in some units.

Some staff members are enthusiastic about preparing documentation for long-range planning. In response to a request from the Council on Public Higher Education for a Five-Year Plan for the University, the Library has established a mechanism to coordinate the Library's response to this request. Initially, each branch librarian has been asked to report long-range facility needs in relationship to the academic unit she/he serves.

Summary

Formalized planning in the University of Kentucky Libraries system is in the incipient stage. Since the present administration came into being in July 1974, there has been an increasing emphasis on the necessity for both long- and short-range planning, although most accomplishments have been made in the short-range category. There has been no significant progress in the formulation of long-range plans. The climate, however, is favorable: the need for planning is becoming more apparent, there is enthusiasm and talent for planning among some members of the staff, and mechanisms are being developed to invite participation in a total planning effort.

At the University level there is considerable planning activity which is supported by a body of statistical reports.

Studies and the data from which they are drawn can be utilized for library planning.

It would seem advantageous for the Library to devote time and resources (human and financial) to a strong planning effort at this time. There are strengths to be built upon as well as weaknesses to overcome. There are satisfactions to be earned in having a part in selecting the destiny of an organization. And that, we propose, is what planning is all about.

Recommendations

Although there has been some short-range planning, the major factor brought out by this study is that there is no significant long-range planning in the Library. The following recommendations are made with a view toward encouraging all types of planning on all levels of management by correcting those situations which the Task Force saw as barriers to the planning process.

1) *The Library needs a role model. At least one person pointed out that it is hard to formulate the goals and objectives necessary to planning without some formal statement of the role of the Library as it relates to the University and to the outside community. The Vice-President for Academic Affairs has a role model of the University to help him formulate priorities; the Library too needs such a framework.*

2) *A more formalized planning structure is needed. Many unit heads are unclear as to what is involved in planning. The Director's Office should make an attempt to educate the staff to planning and should offer meaningful guidance to those unit heads who need it.*

3) *A greater awareness of the impact of planning and change on the staff is needed. Many staff members are upset or disoriented by changes which seem to come unexpectedly. This could be alleviated by more formal consultation with, and involvement of, the staff in the planning process and by earlier disclosure by the Director's Office of possible changes.*

4) *Formal documentation of planning is needed. With the exception of goals and objectives submitted to the Director's Office by some unit heads, no written planning documents exist. Such documentation would give people a framework within which to make short-range decisions and a means by which to set priorities and measure progress.*

5) *Better coordination of planning between units is needed. When planning affects more than one unit, the Director's Office should call together all people involved so everyone can discuss the planning with the Director's Office.*

6) *The Director's Office needs to increase the involvement of middle management in the planning process. While the Director's Office clearly stated that those people affected by plans should be consulted and involved in formulating those plans, there was a discernible sentiment among middle management that decisions are made on a higher level without consultation with the staff affected. If the Director's Office feels that the staff is adequately consulted, then something should be done to close the gap between what the Director's Office believes it does and what the staff perceives to actually happen. Perhaps there should be a more formalized system of consultation which would allow for two-way communication; the duties of the faculty representative to the Administrative Council and the support staff representatives to the Faculty should be more clearly defined.*

7) *The responsibility and authority for middle management to plan needs to be more clearly delineated. A number of unit heads did not feel they had the authority to make plans and to implement them. A more formal job description which clearly spelled out a person's authority in a specific area would help.*

8) *Better communication is needed between the Director's Office and middle management, as to what each expects of the other. The Director's Office stated that an obstacle to planning is the lack of significant statistics from individual units; yet several unit heads pointed out that they have no idea what types of information are needed by the Director's Office or for what purpose the information they do submit is used. Many unit heads mentioned that they get no feedback from the monthly reports they submit. The Director's Office needs to state more clearly what is expected from middle management.*

9) *Planning within the Library should be strengthened by increasing the planning ability of all levels of management. The entire staff needs to be oriented to planning; we need to develop the strengths we do have and work to overcome our weaknesses. Someone is needed to work with all levels of management to help them do their own planning and to coordinate their efforts. One way of doing this may be to hire a planning consultant on a temporary basis so that we would have one person who is free to devote his or her time to this task. However, if the Library possessed a staff educated to planning, good internal communication, and an awareness of the impact of planning on the staff, a planning officer may not be needed.*

The Planning Task Force:

Adelle Dailey, Chairperson
Gertrude Bellardo
Faith Harders
Susan McCargar

TASK FORCE ON PLANNING - BIBLIOGRAPHY

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Structure and Technique for a Continuing Planning Process at Cornell University Libraries

Preface

A. The Mission, Guiding Principles, Basic Policies and Continuing Objectives will be reviewed and updated by the Library Planning Council, with advice from the Academic Assembly, other appropriate groups and supporting staff.

B. Detailed written plans begin at the department or interdepartmental group level and work up the Planning Sequence Organization.

C. The main thrust of the written plans is to implement CUL objectives.

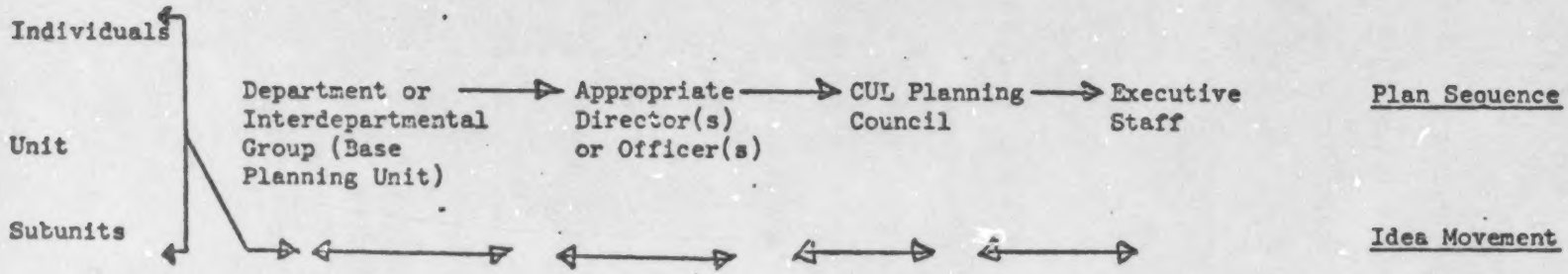
D. Plans may include projects not covered in the Mission, Guiding Principles, Basic Policies and Continuing Objectives but should not be in conflict with them.

E. Plans will be made annually with quarterly "Milestone and Update Reports" being submitted.

F. Projects will be developed at their appropriate level with ideas moving up or down the Planning Sequence Organization.

I Structure

A. Planning Sequence Chart (not an Administrative Organization Chart)



Definitions

Department or Interdepartmental Group is the basic unit which designs and writes a formal plan. (See in Planning Unit Structure in B below.)

Appropriate Director(s) or Officer(s) receives plans from departments and interdepartmental groups and prepares commentary with combined plan before submitting to Planning and Budget Officer. (See Planning Unit Structure in B below.) Projects may be initiated at this level.

CUL Planning Council is the continuation of the original Planning Team concept. It is composed of the Director or Associate Director, the Planning and Budget Officer, a member of the Executive

81 82 075

I A Definitions-Continued

Staff from the statutory payroll, and three members of the Academic Assembly of whom one is to be a college librarian and one is to be a department head. With input from appropriate groups, it reviews and updates as needed the Mission, Guiding Principles, Basic Policies and Continuing Objectives of the CU Libraries, coordinates and schedules all planning work, evaluates progress toward objectives and prepares appropriate documentation for submission to the Executive Staff in accord with university requirements.

Executive Staff approves, rejects, modifies or returns plans for further study and determines priorities for implementation. It is presently composed of Director, Associate Director, Assistant Directors, Coordinator of Public Services, Planning and Budget Officer, Personnel Officer, Law Librarian and I&LR Librarian.

B. Planning Unit Structure Chart

Planning Unit Structure

Department	Director or Officer to Whom Plan is Sent
Olin Circulation	Associate Director
Olin Reference	
Olin Maps, Mocrotext, Newsp.	
I&LR	
Uris	
Engineering	
Business & Public Admin.	
Physical Sciences	
Fine Arts	
Hotel	
Music	
Wason	
Public Services, Catalog, Acquisitions — Law	

I B. Continued

Department	Director or Officer to Whom Plan is Sent
Olin Acquisitions Olin Serials Olin Catalog Olin Catolog Maintenance	Assistant Director, Tech. Serv.
Area Librarians	Assistant Director, Development of the Collections
Mann Loan Mann Reference Mann Acquisitions Mann Catalog Entomology Veterinary Science	Assistant Director and Mann Librarian
Rare Books Manuscripts & Archives	Assistant Director, Rare Books Manuscripts & University Archives
Budget and Acccunting Administrative Services	Planning and Budget Officer
Personnel	Personnel Officer

Interdepartmental Group	Appropriate Director(s) or Officer(s)

Statement excludes Medical College and Geneva Experiment Station

II Techniques--Annual Plan-Department

Department heads with the involvement of their staffs are responsible for the formulation of their departmental mission and its consistency with the CUL Mission, Guiding Principles, Basic Policies and Continuing Objectives.

Interdepartmental groups will follow the departmental process outlined here with necessary modifications.

A. Action Taken By Department

1. Preliminary Steps

a. All individuals are to be encouraged to supply suggestions to the department head for the department's plan. The department head will request staff offering verbal suggestions to write them down.

Suggestions dealing with other departments or the library system as a whole are also encouraged and are to be directed in writing to the Planning and Budget Officer. His office will act as a clearing-house.

b. Ideas for plans may also come from department meetings. These ideas should also be put in written form and handled as in "a" above.

c. Department head will discuss each suggestion with staff member submitting it. Some suggestions can probably be adopted by simple changes in routines or can be eliminated if misunderstandings are cleared up, and will not need to become part of formal plan.

II A. 1. d. Department head will discuss suggestions with unit supervisors and others in the department who are involved.

e. Outside consultation may be helpful and often will be necessary. Consultation may include:

1. appropriate directors or officers.
2. other units performing similar functions.
3. other units affected.
4. Public Services and Technical Services groups.
5. Planning and Budget Officer.

2. Formulation of Department Plan

The department head, with departmental advice:

a. Defines clearly and briefly each project (specific objective) which has been developed from suggestions.

b. Investigates alternate ways of reaching objectives.

c. Prepares tentative estimates of time required, costs, effects on other departments, etc. (Help may be requested from Planning and Budget Officer.)

d. With advice of department priorities are determined and projects divided between those to be implemented and those to be deferred.

e. Prepares a draft plan for the department.

f. Provides for review of draft plan by department, and with advice of department, determines "milestones" (for measurable achievement points).

II A. 3. Planning for Implementation (development of strategies)

The department head, with departmental advice:

a. Determines other groups involved and arranges for their participation.

b. Determines tasks and resources (personnel, funding, equipment) required to accomplish projects.

c. Determines duration of each task.

d. Determines who should be assigned responsibility for each task.

4. Writing of Formal Plan

a. Formal plan will be drafted in proper format at least two weeks prior to submission date. (See IV)

b. Department head submits plan to person indicated on Planning Unit Structure Chart.

B. Action Taken by Appropriate Director or Officer

1. The appropriate Director or Officer receiving plans will review them with department head.

2. Projects which can be accomplished with no additional resources and which do not have any effect on other departments can be approved and the department given permission to begin implementation. These will be included in the final plan for information purposes.

II B. 3. Director or officer prepares a combined plan for his area of responsibility. The bracketed portions of Planning Unit Structure Chart indicate responsibility. A combined plan will consist of departmental plans plus any additional projects created at this level. A covering memo will summarize the plan. In any case, a copy of the individual department plans will accompany the combined plan through to the Executive Staff.

4. Director or Officer sends plan to Planning and Budget Officer.

C. Action By CUL Planning Council

1. Studies plans with special attention to budget implications.

2. Looks for complications and inconsistencies.

3. Refers questions to the appropriate person(s) for clarification.

4. Suggests modifications to originating units as needed.

5. Prepares necessary materials for Executive Staff's review of plans. These include:

a. List of projects requiring Executive Staff decisions and action with comments and recommendations.

b. Short summary of all plans, highlights, comments and recommendations.

c. All plans submitted by departments and those created at the Director or Officer level.

II C. Continued

6. Integrates them into a draft of the total library plan.

7. With input from the appropriate groups reviews annually and updates the Mission, Guiding Principles, Basic Policies and Continuing Objectives.

D. Action by Executive Staff

1. Each member of Executive Staff will receive material from CUL Planning Council at least one week before the appropriate meeting.

2. Executive Staff will approve, reject, modify or return for further study all projects which require their attention and determine priorities for implementation.

3. These decisions of Executive Staff will be reported in writing to the appropriate departments promptly and the library will be available to any interested staff member.

4. Final approved document becomes the library plan.

III Techniques--Milestones and Update Report

A. The department head, with the help of the department, reviews the annual plan to determine:

1. If milestones have been met.

2. If new projects should be added.

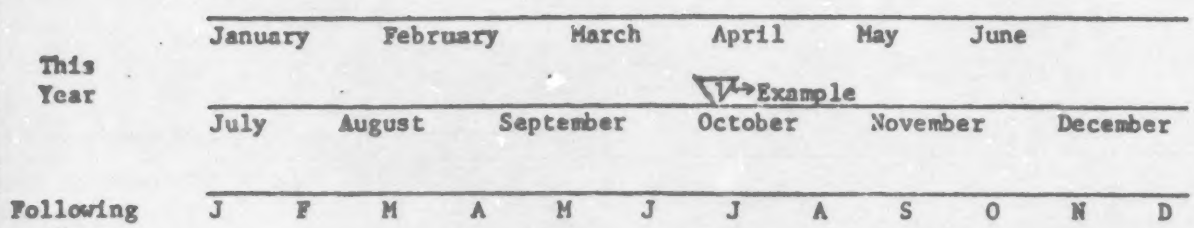
b. Milestone revisions and new projects will be reported through the planning sequence on the proper form.

III C. A report for all projects will be submitted even if there are no changes.

IV Time Sequence

	Milestone & Update Rpt.	Annual Plan	Milestone & Update Rpt.	Milestone & Update Rpt.
Department Head to Directors and Officers	Aug. 15	Nov. 15	Feb. 15	May 15
Directors and Officers to CUL Planning Council	Sept. 1	Dec. 1	Mar. 1	June 1
Planning Council to Executive Staff	Setp. 15	Dec. 15	Mar. 15	June 15

5. Milestone:



#	Task	Completion Date	Responsibility
1	Start	Month_____ Year _____	

PROJECT FOR ANNUAL PLAN

Date: _____

PLANNING UNIT: _____

Continuing Objective

SUMMARY OF PROJECT:

Endorsements:

Department Head (or equivilent) : _____
Director or Officer: _____
Planning and Budget Officer: _____
Executive Staff: _____

DETAIL:

1. Purpose:

2. Other Units Effected:

3. Alternatives

4. Savings (include expenses and time):

5. Other Benefits Not Stated Above:

6. Cost (include expenses and time):

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DESCRIPTIONS OF THE PLANNING OFFICE, FINANCIAL SERVICES OFFICE, AND SYSTEMS OFFICE

COLUMBIA UNIVERSITY

PLANNING OFFICE

Principal Administrator: Assistant University Librarian for Planning.

Parent Unit: Office of the Vice President for Information Services and University Librarian

Role: To initiate and coordinate the planning of University library and information services.

Objectives

1. Provide a direction and framework for library and information service operations which will guide decision making and problem solving.

2. Improve library service, operations and fiscal control through the application of computer technology and management science to library procedures.

3. Ensure the rational and effective development of information services and resources in the context of University academic planning.

4. Permit the anticipation of future resource needs for information services by establishing plans based on present decisions.

5. Bring the skills and experience of University and Libraries staff members into the planning process.

Functions

1. Initiate, coordinate, control and assist information services planning activities and the implementation of plans.

2. Coordinate the Libraries budget preparation, analysis and monitoring.

3. Provide a mechanism for the regular review of library services and operations and for their appropriate modification.

4. Bring tools of management and information science to bear on library problems and service opportunities.

5. Provide information concerning the progress of planning to management and staff.

6. Coordinate the development of Libraries policy.

7. Participate in University planning related to information services.

8. Participate in regional and national planning concerned with library and information services.

9. Prepare reports and applications for grants for government and funding agencies.

10. Gather, organize and provide data for reports, questionnaires, etc. both for internal use and in response to outside agencies, and coordinate these activities throughout the library system.

Key Working Relationships

1. Organizational units represented as integral components of the Libraries budget.
2. Office of the Vice President for Information Services and University Librarian.
3. Other offices and academic departments of the University.

Reports

1. Planning and implementation reports to Libraries management and staff.
2. Quarterly reports on progress to Council on Library Resources.
3. Budget reports to senior management.

Performance and Evaluative Criteria

1. Adherence to planning and budgeting delivery schedules.
2. Contribution to library service and operations.
3. Timeliness of policy manuals.
4. Scope of staff participation in planning.
5. Cohesion of University Libraries plans.
6. Effectiveness of Libraries representation pertaining to regional and national planning.
7. Timeliness of reports and applications to government and funding agencies.

FINANCIAL SERVICES OFFICE

Principal Administrator: Head, Financial Services Office.

Parent Unit: Planning Office

Role: To monitor and coordinate all financial functions relating to the Libraries.

Objectives

1. Improve the operations of all library units relying on the Financial Services Office by providing efficient service and by participating in the establishment of accounting policies and practices which further such service.

2. Contribute to sound finances by controlling library accounts in coordination with those responsible for the receipt and expenditure of funds and or preparing and monitoring financial reports.

3. Enhance library operations and services by coordinating all library accounts with other University offices.

4. Enhance knowledge of library procedures and facilitate decision making by participation in gathering and organizing internal and extra-library data.

5. Facilitate budget preparation by advising the Planning Office and others on financial matters.

6. Promote good public relations and enhance library operations by maintaining effective working relations with outside agencies, businesses and individuals.

Functions

1. Assist in the formulation of financial policies and the implementation of financial procedures.

2. Assist in the preparation of the budget by advising the Planning Office and others on financial matters.

3. Maintain complete and accurate records of all library accounts.

4. Control library accounts in coordination with those responsible for the receipt and expenditure of funds.

5. Prepare and monitor financial reports.

6. Maintain close relationships with other University offices and in particular the Controller's Office.

7. Consult with and advise staff members dependent upon the Financial Services Office about policies, procedures and the status of their accounts.

Key Working Relationships

1. Works closely with Personnel and Planning Offices and in addition with the Resources Group and the General Services Department.
2. Has close liaison with the Controller's Office, the Budget Office, the Office of Projects and Grants, and other University offices where necessary.

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Reports

Regular financial reports to:

a. University Librarian
b. Library units directly involved with the receipt and expenditure of funds.

Periodic reports to:

a. Other library units
b. Other University Offices

Performance and evaluative criteria

1. Accuracy of financial records
2. Availability of financial records.
3. Timeliness of reports.
4. Effectiveness of accounting procedures and financial judgments.
5. Successful integration of the goals of the Financial Services Office with other library goals.
6. Satisfaction of other library units relying on the Financial Services Office.

SYSTEMS OFFICE

Principal Administrator: Head, Systems Office

Parent Unit: Planning Office.

Role: To apply systems analysis and computer technology to the development, implementation, and maintenance of library systems.

Objectives

1. Develop tools to improve service and facilitate access to collections.
2. Improve management application and control of resources by developing reports based on library operations.
3. Increase accuracy in processing and maintaining operating information.
4. Reduce costs and improve availability of materials by improving operating techniques.
5. Enhance the intellectual effort of the professional staff by simplifying procedures and eliminating unnecessary or duplicate work.
6. Reduce the labor of clerical operations by automating the data entry, file handling, and report generating functions.
7. Permit the processing of an increased volume of operational data which may not be processed effectively otherwise.
8. Develop new services based on data in machine readable form.
9. Contribute to the advancement of the library community by sharing systems documentation and data.

Functions

1. Design, code, test, and install computer based library systems.
2. Perform cost and operations analysis of Libraries functions.
3. Maintain and modify operational library computer systems.
4. Develop training and operating manuals and procedures for use in library systems.
5. Review the progress of hardware and software technology and recommend system improvements as indicated by device and program advances.
6. Instruct Libraries staff in principles of systems analysis and data processing sufficient to foster effective working relationships.
7. Communicate with other institutions engaged in library systems work so that there is a mutual contribution of technical expertise to development efforts.

Reports

Monthly reports to the Assistant Director for Planning, describing Systems Office activities.

Regular reports to the Libraries staff concerning the progress of study, development and implementation.
Critical incident reports to the Computer Center staff as appropriate.

Key Working Relationships

1. Libraries management, professional staff, and supporting staff.
2. Data Control Department.
3. University administration, Computer Center senior staff, and Administrative Data Processing staff.

Performance and Evaluative Criteria

1. Adherence to development and implementation targets.
2. Improved service or operations as a result of Systems Office efforts.
3. Effective use of computer resources.
4. Improved management control as a result of Systems Office efforts.

BUDGET REQUEST FORM & NEW ACTIVITY OR PROGRAM PROPOSAL

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

UNIVERSITY OF TENNESSEE

March 15, 1974

Mr. Jeffrey J. Gardner
Management Research Specialist
Office of Management Studies
The Association of Research Libraries
1527 New Hampshire Avenue, N. W.
Washington, D. C. 20036

Dear Jeff:

In a recent telephone conversation, you and I discussed the budget input process for department heads to Library Administration being used in the UTK Library. I briefly described the input documentation and you evinced an interest in receiving copies of this documentation. They are attached.

The packet labeled Budget Request Form is basically for maintenance of effort. Many elements of this form have been used in recent years but have been formalized and brought together in a slightly more sophisticated manner in this form. The new elements are as follows. Page 1 is a logical extension of the library's attempt to develop library-wide and departmental purpose and objective statements. This is the first attempt on department heads' parts to establish goals which relate in a hierarchy to objectives. Page 2 calls for identification of the activities within a department. This is the first time this has been done in either a planning or budgeting process in the Library System. In addition to that, on page 3 we have the identification of activity levels, and page 4 represents an attempt to identify the human resources provided for each activity.

Page 5 is optional during this budget cycle basically because this is the first time we will have used this format and for reasons I'll explain later. We intend to evaluate the effectiveness of the activity sometime late in the spring. It will then no longer be optional. Page 6 brings in the element of mid-range planning through fiscal year '77. Mid-range planning is obviously carried out in the remainder of the pages.

The second packet is a New Activity or Program Proposal. Instead of asking for a new program proposal from department heads, we have asked that they first identify a need for the program proposal and that they come up with a variety of alternatives to meet the need. Throughout the package we ask for resource application, levels of activities for three years, impact on other departments, primary advantages and disadvantages, and the relation to the departmental objectives.

The use of this form has obvious implications for the current budgetary process; but, beyond that, it will probably become an integral part of the library planning process. First, it will be necessary for administration to review the goals as established by the departments. Then it will be necessary to relate them to their objectives and find the gaps where goals do not exist. We'll probably do this within the three basic divisions in the library -- Administrative Services, Public Services, and Technical Services. I doubt seriously if all heads will meet jointly and comment on all departmental goals. This seems to be too time consuming.

At first glance these procedures seem to be rather time consuming, but the overall reaction has been a very healthy one and we seem to have gained a great deal by the process. There seems to be a keener sense of direction of the organization and its components in the minds of those who participated in the process.

Please don't hesitate to call or write me in order to discuss this further.

Warmest regards,

George W. Shipman
Associate Director/Admin. Serv.

GWS:emt

Enclosures

PLANNING STRUCTURES & PROCESS,
BUDGET & MANAGEMENT INFORMATION

U. of Tennessee/Knoxville

BUDGET REQUEST FORM

1. State the department's objectives and the goals which relate to each objective.

2. Identigy and describe the major activities within the department. Please list and number each activity separately. (An activity is a group of actions which result in the accomplishment of an identifiable end product, i.e. book shelving, tape duplication, catalog card typing.)

3. What is the level of each activity? (The level of activity should be indicated by using statistics which are available and may be clarified by use of written remarks.)

4. For each staff member listed, note the percentage of time devoted to each activity within the department. For any other resources listed, note the percentage of that resource which was used for each activity. Add any resources that you consider significant.

	Act. 1	Act. 2.	Act. 3	Act. 4	Act. 5	Act. 6	Act. 7	Act. 8
Human Resources:								

5. Evaluate the effectiveness of each activity in accomplishing the departmental objective or goal to which it relates. (The completion of this item is optional.)

6. What changes in the present activities are planned or proposed for FY75, 76, or 77?

7. Forecast the level of each activity for FY 75, 76, and 77.

8. Forecast the staff and other resource requirements for each activity for FY 75, 76, and 77. Please include in the equipment required area whether equipment is additional or replacement.

FISCAL YEAR 1975

	Act. 1	Act. 2	Act. 3	Act. 4	Act. 5	Act. 6	Act. 7	Act. 8
Human Resources:								
Operating Item:								
Equipment Required:								

BUDGET REQUEST FORM

FISCAL YEAR 1976

	Act. 1	Act. 2	Act. 3	Act. 4	Act. 5	Act. 6	Act. 7	Act. 8
Human Resources:								
Operating Item:								
Equipment Required:								

BUDGET REQUEST FORM

FISCAL YEAR 1977

	Act. 1	Act. 2	Act. 3	Act. 4	Act. 5	Act. 6	Act. 7	Act. 8
Human Resources:								
Operating Item:								
Equipment Required:								

PLANNING STRUCTURES & PROCESS,
BUDGET & MANAGEMENT INFORMATION

U. of Tennessee/Knoxville

Budget input from dept.
head --- lib. admin.

NEW ACTIVITY OR PROGRAM PROPOSAL

1. Identify a need for which an activity or program (a program is a group of related activities) is proposed. What departmental objective covers this need.

2. What alternatives do you recommend to satisfy this need. Complete items A - D below for each alternative activity or program.

   A. Describe the activity or each activity within a program. Forecast the level of each activity for FY75, 76, and 77.

   B. What impact would these activities, performed in your department, have on other library departments.

C. What resources, by activity, would be required in FY75, 76, and 77.

FISCAL YEAR 1975

	Act. 1	Act. 2	Act. 3	Act. 4
Human Resources:				
Operating Item:				
Equipment Required:				

FISCAL YEAR 1976

	Act. 1	Act. 2	Act. 3	Act. 4
Human Resources:				
Operating Item:				
Equipment Required:				

FISCAL YEAR 1977

	Act. 1	Act. 2	Act. 3	Act. 4
Human Resources:				
Operating Item:				
Equipment Required:				

D. What are the primary advantages and disadvantages of this alternative.

3. If more than one new activity or program is proposed, indicate the priority of this proposal.